

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF FLORIDA

COMMODITY FUTURES TRADING
COMMISSION,

Plaintiff,

v.

DAMIAN CASTILLA, DCAST CAPITAL
INVESTMENTS LLC, and FIVE TRADERS
LLC,

Defendants.

Case No.: 1:22-cv-21520

**DECLARATION OF ELSIE ROBINSON
PURSUANT TO 28 U.S.C. § 1746**

I, Elsie Robinson, hereby make the following declaration based upon my personal knowledge:

I. INTRODUCTION

1. I am over 21 years of age and am legally fit and qualified to testify in a court of law.
2. I hold a Bachelor of Arts degree, and I am a Certified Fraud Examiner.
3. I am employed as a Futures Trading Investigator by the Division of Enforcement (“Division”) of the Commodity Futures Trading Commission (“Commission”), located at 2600 Grand Boulevard, Suite 210, Kansas City, Missouri 64108.
4. I have been assigned to the Division as a Futures Trading Investigator since joining the Commission in April 2015. As a Futures Trading Investigator, my responsibilities include investigating potential violations of the Commodity Exchange Act (“Act”), 7 U.S.C. §§ 1-26 and the regulations promulgated thereunder. I also routinely analyze customer account documents,

review trading documentation, analyze bank records, trace the flow of funds, review registration information, perform investigative searches in databases such as Thomson Reuters CLEAR (“CLEAR”), review emails and other relevant records provided by customers, and conduct and participate in investigative interviews.

5. From 2006 to 2015, I was employed by the United States Attorney’s Office (“USAO”) for the Western District of Missouri as a financial analyst, responsible for performing investigations and analyses of accounting, economic, and financial issues involving individuals and business organizations. While employed at the USAO, my duties included, but were not limited to, reviewing financial and management operations of commercial, industrial, municipal and corporate organizations; examining financial statements, accounting records and operational records; researching individuals’ and businesses’ backgrounds; researching applicable regulatory and legal standards and requirements; interviewing witnesses and targets of investigation; reviewing correspondence, including e-mail and audio recordings; examining depositions and legal filings; and performing analyses of the information gathered.

6. During my tenure at the USAO, I worked on a number of different matters including: (1) reviewing and analyzing bank records, property records, and corporate documents, analyzing money flow, conducting witness interviews and participating in search and seizure warrants in a large software piracy investigation; (2) reviewing and analyzing business records, recorded conference calls, bank records, and trading records; interviewing witnesses and targets; testifying at trial and sentencing as to financial analyses and loss amounts; and preparing a restitution order in connection with a securities fraud scheme involving thousands of victims and which resulted in the conviction of 14 defendants; (3) reviewing business records and money flow in investigations of federal funding fraud and embezzlement; (4) reviewing land and

financial transactions involved in mortgage fraud investigations; and (5) reviewing audio records, publicly available land records, and insurance and financial documents as to an arson for insurance fraud scheme.

7. I have personal knowledge of the facts stated herein, and if called to testify, I could and would competently testify to the same.

II. MATERIALS REVIEWED

8. As part of my investigatory responsibilities for this matter, I performed a search of relevant databases and reviewed various documents obtained by the Division in the course of its investigation, including the following relevant materials:

- a. Records obtained through the CLEAR database relating to Damian Castilla, and DCAST Capital.
- b. Public records obtained from Secretaries of State relating to the formation, organization, and registration of DCAST Capital and Five Traders. True and correct copies of these records are attached as **Exhibit A**.
- c. Records obtained through the National Futures Association's ("NFA") online registration system ("ORS"). True and correct copies of certain of these records are attached as **Exhibit B**.
- d. Records obtained through the CFTC's March 24, 2021 FCM surveys of all U.S.-based Futures Commission Merchants ("FCMs"). True and correct copies of a selection of these materials are attached as various exhibits, as described below.
- e. Materials provided to the Commission by certain individuals and entities that invested with Defendants ("Pool Participants"). True and correct copies of certain of these materials are attached as various exhibits, as described below.

f. Bank records for the following accounts:

Bank	Account Holder	Account No.	Period of Review
JPMorgan Chase	DCAST Capital	X3518	April 1, 2014 to October 24, 2019
Wells Fargo Bank	DCAST Capital	X2088	September 30, 2020 to July 31, 2021
Wells Fargo Bank	Five Traders	X4690	September 20, 2019 to July 31, 2021
Wells Fargo Bank	Castilla	X4666	September 16, 2019 to July 14, 2021
Wells Fargo Bank	Castilla	X0881	September 16, 2019 to July 7, 2021

True and correct copies of account opening documents for the accounts listed are attached as **Exhibit C**.

g. Futures trading records, including trading account statements, account opening documents, and communications for the accounts in the following table:

FCM	Account Holder	Account No.	Period of Review
Dorman Trading LLC	DCAST Capital	X3071	January 29, 2016 to September 30, 2021
Dorman Trading LLC	DCAST Capital	X6445	October 31, 2018 to September 30, 2020
Phillip Capital Inc.	Five Traders LLC	X0032	August 1, 2020 to August 31, 2021

True and correct copies of account opening documents for these accounts are attached as **Exhibit D**.

Unless otherwise stated, the “Relevant Period” referenced in this declaration is January 1, 2014 to the date of execution.

III. INFORMATION REGARDING DEFENDANTS

9. Defendant **Damian Castilla** is a resident of Miami, Florida and is the sole owner and sole managing member of DCAST and Five Traders. **Exhibit A & C.**

10. Publicly available information shows that Castilla was charged by the Florida State Attorney’s Office, in Miami-Dad County, Case No. 13-2020-CF-004700-0001, for Organized Fraud and Grand Theft 1st Deg, on or around March 19, 2020. **Exhibit E.**

11. On December 9, 2013, Castilla registered DCAST Capital with the Florida Secretary of State. **Exhibit A.** Castilla was listed as the registered agent and sole manager of the entity. DCAST Capital’s registered address is the same as Castilla’s previous address. DCAST Capital became an inactive entity, for “Admin Dissolution,” on September 24, 2021. **Exhibit A.**

12. On April 26, 2019, Castilla registered Five Traders with the Wyoming Secretary of State. **Exhibit A.** Castilla appointed an administrator as registered agent of Five Traders, but opened bank accounts and identified himself as “owner with control of the entity” on at least one bank account opening form and was the only listed signatory on any of its bank accounts. **Exhibit C.**

IV. CFTC REGISTRATION AND NFA MEMBERSHIP

13. The Act requires certain firms and individuals that conduct business in the derivatives industry to register with the Commission. The Commission has delegated its registration responsibility to the NFA. Depending on a firm’s business activity, certain entities and individuals must register with the Commission as a commodity pool operator (“CPO”) or an

associated person (“AP”) of a CPO. Such current and historical registration status is reflected on the NFA’s BASIC and ORS databases.

14. Defendant Damian Castilla applied for registration as a commodity trading advisor in August 2013. He withdrew that application in November 2013. From January 1, 2014 to present, Castilla was not registered in any capacity with the Commission. **See Exhibit B.**

15. Defendant DCAST Capital claimed an exemption from registration as a commodity trading advisor with the Commission, but withdrew that exemption as of April 17, 2015. DCAST Capital has never been registered in any capacity with the Commission. **See Exhibit B.**

16. Defendant Five Traders has never been registered with the Commission.

V. DEFENDANTS’ COMMUNICATIONS WITH POOL PARTICIPANTS

17. During the course of the investigation, I participated in interviews of at least seventeen Pool Participants.

18. **On October 13, 2021**, I participated in an interview of Pool Participant A.¹ The following is a summary of information Pool Participant A provided during that interview:

Pool Participant A met Castilla when Castilla hired him to be his flight instructor. After numerous conversations about futures trading during Castilla’s flying lessons, Castilla solicited \$30,000 from Pool Participant A that Castilla claimed would be used to trade futures for Pool Participant A, and that Castilla would open a sub account for Pool Participant A.

¹ Pool Participant A is also identified as Participant A in the Complaint.

Pool Participant A received monthly account statements from Castilla that represented the subaccount had profitable trading. After approximately three years, the account statement showed a balance of about \$5.5 million—from an initial investment of \$30,000.

Pool Participant A asked Castilla for a return of funds, but Castilla was unable to return funds to Pool Participant A. Castilla provided numerous excuses about his inability to return Pool Participant A's supposed profits. Castilla told Pool Participant A that a person who had a disagreement about the account sued Castilla, which prevented Castilla from returning the funds. Castilla also told Pool Participant A that OFAC froze Castilla's accounts. Castilla also told Pool Participant A that the CFTC was investigating Castilla and froze Castilla's accounts.

Pool Participant A stated that he had communications as recent as early October 2021 in which Castilla claimed to have money available to repay investors, but that the accounts were still frozen.

19. **On October 8, 2021**, I participated in an interview of Pool Participant B. The following is a summary of information Pool Participant B provided during that interview and based on my review of documents Pool Participant B provided to the Division:

Pool Participant B met Castilla through Pool Participant C. During a video telephone call in September 2020, Castilla represented that he invested money in futures on behalf of himself and clients. Castilla claimed approximately 17 years of trading experience. Castilla stated that his clients were earning 8-10% profits per month. Pool Participant B had seen account statements that Castilla provided to Pool Participant C, which showed profits consistent with 8-10% profits per month. In October 2020, Pool Participant B met Castilla and provided him with a cashier's check for \$50,000 that would be placed in a separate account for Castilla and his company to trade. Pool Participant B received trading account statements from

Castilla showing her funds were being traded by DCAST. A statement dated November 2, 2020 showed trades in account X987 – X3071 showing profitable trading activity and an account value of \$60,811.50. **See Exhibit F.** Account statements Castilla sent to Pool Participant B showed increased account values in December 2020 and January 2021. In January 2021, Pool Participant B provided a copy of the December 2020 account statement to Dorman. Dorman informed Pool Participant B that the account did not exist. Castilla never informed Pool Participant B he had been arrested in March 2020. Pool Participant B would not have provided any funds to Castilla or DCAST if such information was disclosed to her.

20. **On October 13, 2021,** I participated in an interview of Pool Participant C. The following is a summary of information Pool Participant C provided during that interview and based on my review of documents Pool Participant C provided to the Division:

Pool Participant B first met Castilla around 2018. A friend of Pool Participant C had provided funds to Castilla and informed Pool Participant C that the investment was doing very well.

Pool Participant C did not provide any funds to Castilla initially. During a later meeting, Castilla showed Pool Participant C accounts statements that Castilla claimed showed profitable trading in futures. Pool Participant C ultimately provided \$25,000 to Castilla to trade futures. Castilla informed Pool Participant C that he would provide monthly reports detailing the trading activity. Pool Participant C regularly received trading account statements that showed her funds were held in an account owned by DCAST at Dorman Trading and showed regular profits accumulating in the account. When Pool Participant C requested that Castilla provide a portion of the account balance, Castilla stated that he had the money to pay the withdrawal but

that the accounts were frozen because he had wired money to someone outside the country that triggered an investigation and freeze of his trading accounts.

21. **On October 8, 2021**, I participated in an interview of Pool Participant D. The following is a summary of information Pool Participant D provided during that interview and based on my review of documents Pool Participant D provided to the Division:

Pool Participant D first met Castilla in person in October 2019. Castilla solicited Pool Participant D to provide funds for Castilla to trade futures. Pool Participant D provided a check for \$50,000 to Castilla made out to Five Traders. Pool Participant D regularly received account statements from Castilla that represented consistent, profitable trading in Pool Participant D's account. The account statements Pool Participant D received showed the trading account in the name of DCAST. When Pool Participant tried to withdraw funds, Castilla provided numerous excuses, but never sent the funds that Pool Participant D requested. Among other excuses, Castilla told Pool Participant D that his accounts were temporarily frozen because he had a problem with OFAC (the Office of Foreign Assets Control) due to wiring money out of the country to someone that triggered an investigation.

22. **On April 21, 2021**, I participated in an interview of Pool Participant E. The following is a summary of information Pool Participant E provided during that interview and based on my review of documents Pool Participant E provided to the Division:

Pool Participant E met Castilla around 2016. Castilla told Pool Participant E that Castilla trades funds in pooled accounts and earns 30% of the gains. Pool Participant E sent DCAST \$50,000 in mid 2016. Following his investment with DCAST, Pool Participant E began receiving monthly account statements. The account statements were purportedly issued by Dorman, and the account name was DCAST Capital. According to the statements, the account

was “doing really well” and Pool Participant E agreed to invest an additional \$25,000 in November 2016. Pool Participant E invested additional funds because of the profitable trading identified in the account statements.

In September 2018, Pool Participant E withdrew \$75,000 from the account (his original investment). Pool Participant E received the funds within a few days. Even after that withdrawal, the statements showed that Pool Participant E’s account had a balance of over \$400,000. In July 2019, Pool Participant E invested an additional \$25,000.

In February 2020, Pool Participant E withdrew \$75,000. There was some delay in Defendants issuing the funds to Pool Participant E, and Castilla provided various excuses. In December 2020, Pool Participant E requested that Castilla return \$100,000, but never received any additional funds—instead only receiving more excuses.

23. **On May 4, 2021**, I participated in an interview of Pool Participant F and Pool Participant G. The following is a summary of information Pool Participant F and Pool Participant G provided during that interview and based on my review of documents Pool Participant F and Pool Participant G provided to the Division:

Pool Participant F and Pool Participant G have been friends for about 30 years. They both met Castilla over lunch around October 2019 through a mutual friend. During the lunch meeting, Castilla stated that he has made a lot of money trading futures, and that Castilla would “make them a lot of money” too. Castilla explained that he was doing well trading indexed futures products, in particular the E-mini Dow Futures contract.

Pool Participant F provided two checks for \$50,000 each, totaling \$100,000, written out to Five Traders. The checks were provided in November 2019. Pool Participant G provided a check to Five Traders for \$100,000 in October 2019. Both Pool Participants received account

statements showing trading activity occurring in DCAST's account at Dorman. Castilla stated that both accounts were "sub-accounts" at Dorman that he created to trade their funds.

After about three months, Castilla suggested that Pool Participants F and G form a partnership in a company Castilla had set up for his family, Five Traders LLC. Castilla told them he traded smaller amounts than others were investing, out of his DCAST trading account. They agreed to each contribute \$1 million. DC said he would move the \$100,000 each that Pool Participants F and G initially invested in October into the Five Traders account and move their profits to date—approximately \$100,000 each—into the Five Traders account.

Castilla purportedly began trading through a Five Traders account around February 2020. Because the 2019 monthly statements showed such a great profit, Pool Participant F provided an additional \$100,000 to Five Traders. Castilla provided account statements to Pool Participant F and Pool Participant G that showed his trading on behalf of Five Traders was extremely profitable. Based on the profitable trading, Pool Participant G wired an additional \$300,000 to Five Traders in March 2020. Castilla provided a March 2020 account statement that showed Five Traders had an account balance of over \$4 million in an account at Dorman. Castilla later provided an account statement dated July 21, 2020 from the same account that showed an account balance of over \$8.6 million. **See Exhibit G.**

Pool Participants F and G requested their funds at various times in 2020. Eventually, in March 2021, Pool Participants F received a check for \$100,000 from Five Traders and Pool Participant G received a check for \$200,000 from Five Traders. Neither check was honored.

VI. U.S. TRADING ACCOUNTS

24. As part of the investigation, I reviewed the following records related to futures trading accounts:

- a. Records provided in response to requests for information issued on March 24, April 8, April 29, and October 14, 2021, under Section 4g of the Act (4g request) to Dorman Trading, LLC, a registered FCM.
- b. Records provided in response to a 4g request issued on April 27, 2021, to NinjaTrader Brokerage, LLC, a registered introducing broker.
- c. Records provided in response to a request for information issued on April and September 15, 2021 to Phillip Capital, Inc., a registered FCM.

25. At no time during the relevant period did Defendants establish subaccounts with any FCM. That is, all trading activity and account balances in Defendants' accounts occurred in the three accounts listed above.

26. DCAST and Five Traders deposited a total of \$105,000 over the life of the three trading accounts. The highest month-end balance for any single account was \$38,337.20—DCAST X6445 in October 2018.

27. Each of the three accounts had net losses over the life of the accounts, and were unprofitable the majority of months, with the highest profit in any month being \$4,666—Dorman -3071 in January 2016.

28. A review of emails provided by Dorman showed that Pool Participant B provided Dorman with two trading account statements that she received from Castilla—showing a trading account in the name of DCAST, account numbers X987 - X3071 and X989 – X3071, with account values of \$69,918.50 and \$70,079.60. Both account statements were dated December 7, 2020. Emails produced by Dorman show that Dorman employees referred to these account statements as “2 Fraudulent Dorman Statements.” **See Exhibit H.** As of December 7, 2020,

DCAST's X3071 account had a balance of \$719.67. **See Exhibit I.** The last trading activity in any of DCAST's accounts at Dorman was in March 2020.

29. Documents obtained during the Division's investigation also show that Defendants regularly provided account and bank statements to pool participants showing profitable trading. Based on my review Defendants' trading records, none of the account statements Defendants provided to Pool Participants were legitimate.

30. For example, Castilla provided Pool Participant C (discussed above) with an account statement in August 2020 that showed Pool Participant C's account value over \$252,000 about two years after the initial \$25,000 investment. **See Exhibit J.** No such trading account ever existed, let alone with a value over 10 times the initial investment.

31. Also, Pool Participant E, who is one of the earliest investors and received all of his principal back, continued receiving account statements through the years that showed the trading account had grown to over \$800,000 by March 2021. **See Exhibit K.**

32. Finally, Pool Participants F and G provided account statements received from Defendants that purported to be issued by Dorman to Five Traders. In particular, one account statement dated July 21, 2020, shows an account value of over \$8.6 million. **See Exhibit G.** Five Traders did not have a trading account with Dorman.

VII. ANALYSIS OF BANK ACCOUNTS

33. The following observations are based on my analysis of relevant bank records, unless otherwise noted.

34. Between January 2014 and March 2021, the reviewed bank records show that Castilla, DCAST Capital, and Five Traders received a total of \$3,400,716.20 from at least 59 Pool Participants ("Pool Participant funds").

35. Castilla made Ponzi-type payments of \$ 1,609,737.00 to certain investors. Some of those payments included the memo “investment” in connection with the payment from Defendants to Pool Participants.

36. Some Pool Participants received returns from Defendants that exceeded their principal investment. Other Pool Participants received no funds back from Defendants. When excluding Pool Participants that received their entire principal back (or more), Pool Participants have suffered losses of \$2,687,440.13.

37. My review of Castilla’s bank records held at JPMorgan Chase and Wells Fargo reflect that Castilla received no regular recurring income from employment during the Relevant Period.

38. Defendants regularly commingled investor funds with non-investor funds. Castilla regularly transferred funds from Five Traders or DCAST corporate bank accounts to his personal bank accounts, which he then used for personal expenses, including (based on the descriptions in the bank records) car payments, home remodeling, lawn services, clothing, and restaurants. Castilla also withdrew funds from both corporate accounts as cash.

39. In some cases, Castilla used investor funds to repay earlier investors just days after receiving the funds. For example, on April 2, 2019, Pool Participant A provided DCAST with \$5,000 for trading futures. On April 3, 2019, DCAST issued Pool Participant H \$2,500 in alleged profits from trading. And on August 16, 2019, Pool Participant I provided \$10,000 to DCAST for trading futures. On August 19 and 26, 2019, DCAST issued \$5,000 (\$2,500 per date) to Pool Participant H.

40. Among other examples, on February 3, 2020, Pool Participant F provided \$50,000 to Five Traders for trading futures. On February 4, 2020, Five Traders issued \$50,000 to Pool

Participant E as purported profits from trading. On February 10, 2020 Pool Participant F provided a second payment of \$50,000 to Five Traders. On February 13, 2020, Five Traders issued \$25,000 to Pool Participant E as purported profits from trading.

41. Castilla, DCAST, and Five Traders did not follow any formalities in which entities accepted or returned funds to Pool Participants. For example, Pool Participant E provided \$75,000 to DCAST in July and November 2016. When Castilla issued returns to Pool Participant E, Castilla returned \$75,000 in September 2018 from DCAST. In February 2020, Castilla issued \$75,000 to Pool Participant E from a Five Traders account. Pool Participant E stated during an interview that he had never heard of Five Traders.

42. Pool Participant A provided approximately \$30,000 to DCAST for trading futures, but received about \$200,000 in “profits” that Castilla issued from DCAST’s and Five Traders’ bank accounts. At least four other Pool Participants provided funds to DCAST, but received purported profits from Five Traders.

43. During the course of the Division’s investigation, the Division obtained documents from many of the Pool Participants that Pool Participants identified as materials that Defendants provided. Not one Pool Participant provided the Division with risk disclosures or cautionary statements consistent with the disclosures required by 17 C.F.R. § 4.21, and detailed in 17 C.F.R. § 4.24, and no Pool Participant stated that they ever received such disclosures from Defendants.

44. During the course of the Division’s investigation, the Division obtained documents that many of the Pool Participants stated that they received as periodic updates of the performance of their funds and investments. As detailed above, Defendants regularly provided false account statements. No Pool Participants provided any documents that detailed financial statements—

whether monthly, quarterly, or annual—of the true and actual performance of Defendants’ trading as required by 17 C.F.R. § 4.22. The account statements that Defendants provided to Pool Participants were falsified and did not show, among other things, accurate changes in unrealized net gain or loss on commodity interest positions.

VIII. SUBPOENA ISSUED BY THE DIVISION OF ENFORCEMENT

45. On June 21, 2021, the Division of Enforcement issued a subpoena to Defendants. A copy of the Subpoena and email transmittal of the Subpoena are attached as **Exhibit L**. I received a Blind Copy of the transmittal email.

46. Document Request Number 2, sought “Documents sufficient to show the names, addresses, phone numbers, e-mail address, and any other contact information of all current and former customers or clients of [Castilla], Five Traders, DCAST Capital, or any other entity” in which Castilla possessed an ownership interest.

47. On August 27, 2021, Defendants, through counsel, produced documents to the Division in response to the Subpoena that included a list of clients in response to Request Number 2. The list contained five names.

48. On August 31, 2021, an attorney for the Division requested that Defendants’ counsel “confirm whether the documents and information . . . are complete for requests 1, 2, and 12.” Defendants’ counsel responded “yes”. **Exhibit M**.

49. On September 28, 2021, Defendants, through counsel, produced an updated list in response to Request Number 2. The updated list contained fourteen names.

50. Based on my review of Defendants bank records and interviews of Pool Participants, both lists produced by Defendants are incomplete. For example, Pool Participant D, discussed above was not included in Defendants’ response to the Subpoena. Further, Pool

Participants A and H, who are included in Paragraph 42 above as providing funds to DCAST and receiving returns from Five Traders, also were not included in Defendants' response to the Subpoena.

51. Additionally, I participated in interviews of Pool Participants A, D, and G. All three included details of their investment with Defendants consistent with the Pool Participants discussed in detail above. All three Pool Participants are identifiable by name through Defendants' bank records as providing funds to Defendants. Yet, Defendants did not disclose their names in response to the Division's Subpoena.

Date: December 12, 2022

A handwritten signature in black ink, appearing to read 'Elsie Robinson', followed by a horizontal line.

Elsie Robinson

EXHIBIT A



[Department of State](#) / [Division of Corporations](#) / [Search Records](#) / [Search by Entity Name](#) /

Detail by Entity Name

Florida Limited Liability Company
DCAST CAPITAL INVESTMENTS, LLC

Filing Information

Document Number L13000169836
FEI/EIN Number 46-4627524
Date Filed 12/09/2013
Effective Date 12/09/2013
State FL
Status INACTIVE
Last Event ADMIN DISSOLUTION FOR ANNUAL REPORT
Event Date Filed 09/24/2021
Event Effective Date NONE

Principal Address

11262 SW 73 TERRACE
MIAMI, FL 33173

Changed: 03/11/2014

Mailing Address

11262 SW 73 TERRACE
MIAMI, FL 33173

Changed: 03/11/2014

Registered Agent Name & Address

CASTILLA, DAMIAN
11262 SW 73 TERRACE
MIAMI, FL 33173

Name Changed: 09/28/2020

Authorized Person(s) Detail

Name & Address

Title MGR

CASTILLA, DAMIAN
11262 SW 73 TERRACE
MIAMI, FL 33173

Annual Reports

Report Year	Filed Date
2018	04/20/2018
2019	05/01/2019
2020	09/28/2020

Document Images

09/28/2020 – REINSTATEMENT	View image in PDF format
05/01/2019 – ANNUAL REPORT	View image in PDF format
04/20/2018 – ANNUAL REPORT	View image in PDF format
04/17/2017 – ANNUAL REPORT	View image in PDF format
04/27/2016 – ANNUAL REPORT	View image in PDF format
04/29/2015 – ANNUAL REPORT	View image in PDF format
03/11/2014 – ANNUAL REPORT	View image in PDF format
12/09/2013 – Florida Limited Liability	View image in PDF format

STATE OF WYOMING * SECRETARY OF STATE
EDWARD A. BUCHANAN
BUSINESS DIVISION

Herschler Bldg East, Ste.100 & 101, Cheyenne, WY 82002-0020

Phone 307-777-7311

Website: <https://sos.wyo.gov> · Email: business@wyo.gov

Filing Information



Please note that this form CANNOT be submitted in place of your Annual Report.

Name **Five Traders, LLC**

Filing ID **2019-000853261**

Type Limited Liability Company

Status

Active

General Information

Old Name

Fictitious Name

Sub Status

Current

Standing - Tax

Good

Standing - RA

Good

Sub Type

Standing - Other

Good

Formed in Wyoming

Filing Date

04/26/2019 9:31 AM

Term of Duration Perpetual

Delayed Effective Date

Inactive Date

Principal Address

1712 Pioneer Ave Ste 500
Cheyenne, WY 82001

Mailing Address

1712 Pioneer Ave Ste 500
Cheyenne, WY 82001

Registered Agent Address

Capital Administrations LLC
1712 Pioneer Ave Ste 115
Cheyenne, WY 82001

Parties

Type Name / Organization / Address

Notes

Date Recorded By Note

Filing Information



Please note that this form CANNOT be submitted in place of your Annual Report.

Name	Five Traders, LLC		
Filing ID	2019-000853261		
Type	Limited Liability Company	Status	Active

Most Recent Annual Report Information

Type	Original	AR Year	2021
License Tax	\$50.00	AR Exempt	N
AR Date	3/18/2021 10:08 AM		
Web Filed	Y		

Officers / Directors

Type	Name / Organization / Address
------	-------------------------------

Principal Address

1712 Pioneer Ave Ste 500
Cheyenne, WY 82001

Mailing Address

1712 Pioneer Ave Ste 500
Cheyenne, WY 82001

Annual Report History

Num	Status	Date	Year	Tax
05633683	Original	03/24/2020	2020	\$50.00
06149278	Original	03/18/2021	2021	\$50.00

Amendment History

ID	Description	Date
See Filing ID	Initial Filing	04/26/2019

WY Secretary of State

FILED: 04/26/2019 09:31 AM

ID: 2019-000853261

ARTICLES OF ORGANIZATION
OF
Five Traders, LLC

A LIMITED LIABILITY COMPANY

- I. The name of the limited liability company is Five Traders, LLC
- II. The period of its duration is perpetual from the date of filing Articles of Organization with the Wyoming Secretary of State.
- III. The purpose for which the limited liability company is organized is: any lawful purpose except for the purposes of banking and insurance.
- IV. The name and address of its registered agent is:

Capital Administrations, LLC
1712 Pioneer Ave. Ste. 115
Cheyenne, WY 82001
- V. The mailing and principal office address is:

1712 Pioneer Ave. Ste. 500
Cheyenne, WY 82001
- VI. The remaining members of the limited liability company, if any, shall have the right to continue the business on the death, retirement, resignation, expulsion, bankruptcy or dissolution of a member or occurrence of any other event which terminates the continued membership of a member of the limited liability company, unless otherwise stated in the Membership Operating Agreement.

Dated this 16th day of April, 2019.

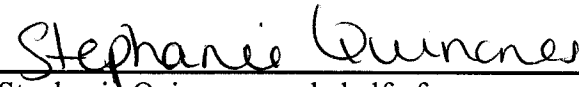
Stephanie Quinones
Stephanie Quinones, on behalf of
Capital Administrations, LLC, Organizer
tax@wyomingcompany.com



**CONSENT TO
APPOINTMENT BY REGISTERED AGENT**

- I. Capital Administrations, LLC, located at 1712 Pioneer Ave. Ste. 115 Cheyenne, WY, 82001, voluntarily consents to serve as the registered agent for Five Traders, LLC, on the date shown below;
- II. The undersigned by and on behalf of Capital Administrations, LLC, hereby certify that it is in compliance with the requirements of W.S. 17-28-101 through W.S. 17-28-111.

Dated this 16th day of April, 2019.



Stephanie Quinones, on behalf of
Capital Administrations, LLC, Registered Agent

STATE OF WYOMING
Office of the Secretary of State

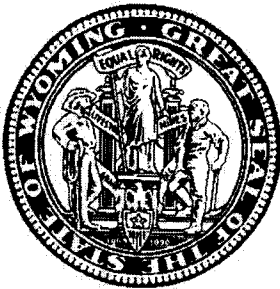
I, EDWARD A. BUCHANAN, SECRETARY OF STATE of the STATE OF WYOMING, do hereby certify that the filing requirements for the issuance of this certificate have been fulfilled.

CERTIFICATE OF ORGANIZATION

Five Traders, LLC

Accordingly, the undersigned, by virtue of the authority vested in me by law, hereby issues this Certificate.

I have affixed hereto the Great Seal of the State of Wyoming and duly executed this official certificate at Cheyenne, Wyoming on this **26th** day of **April, 2019**.



Filed Date: 04/26/2019

Edward A. Buchanan
Secretary of State

By: Anneleisa Renner

2020**Limited Liability Company Annual Report**

Due on or Before: April 1, 2020
 ID: 2019-000853261
 State of Formation: Wyoming
 License Tax Paid: \$50.00
 AR Number: 05633683

For Office Use Only

Wyoming Secretary of State
 Herschler Bldg East, Ste.100 & 101, Cheyenne, WY
 82002-0020
 307-777-7311
<https://wyobiz.wy.gov/Business/AnnualReport.aspx>

Five Traders, LLC**1: Mailing Address**

1712 Pioneer Ave Ste 500
 Cheyenne, WY 82001

Current Registered Agent:
 Capital Administrations LLC
 1712 Pioneer Ave Ste 115
 Cheyenne, WY 82001

2: Principal Office Address

1712 Pioneer Ave Ste 500
 Cheyenne, WY 82001

• Please review the current Registered Agent information and, if it needs to be changed or updated, complete the appropriate Statement of Change form available from the Secretary of State's website at <http://soswy.state.wy.us>

Email: tax@wyomingcompany.com

I hereby certify under the penalty of perjury that the information I am submitting is true and correct to the best of my knowledge.

C. Kupec (Auth Agent)
 Signature

C. Kupec (Auth Agent)
 Printed Name

March 24, 2020
 Date

The fee is \$50 or two-tenths of one mill on the dollar (\$.0002), whichever is greater.

Instructions:

1. Complete the required worksheet.
2. Sign and date this form and return it to the Secretary of State at the address provided above.

2021**Limited Liability Company Annual Report**

Due on or Before: April 1, 2021
 ID: 2019-000853261
 State of Formation: Wyoming
 License Tax Paid: \$50.00
 AR Number: 06149278

For Office Use Only

Wyoming Secretary of State
 Herschler Bldg East, Ste.100 & 101, Cheyenne, WY
 82002-0020
 307-777-7311
<https://wyobiz.wyo.gov/Business/AnnualReport.aspx>

Five Traders, LLC**1: Mailing Address**

1712 Pioneer Ave Ste 500
 Cheyenne, WY 82001

Current Registered Agent:
 Capital Administrations LLC
 1712 Pioneer Ave Ste 115
 Cheyenne, WY 82001

2: Principal Office Address

1712 Pioneer Ave Ste 500
 Cheyenne, WY 82001

• Please review the current Registered Agent information and, if it needs to be changed or updated, complete the appropriate Statement of Change form available from the Secretary of State's website at <http://soswy.state.wy.us>

Email: tax@wyomingcompany.com

I hereby certify under the penalty of perjury that the information I am submitting is true and correct to the best of my knowledge.

A. Jackson (authorized agent)
 Signature

A. Jackson (authorized agent)
 Printed Name

March 18, 2021
 Date

The fee is \$50 or two-tenths of one mill on the dollar (\$.0002), whichever is greater.

Instructions:

1. Complete the required worksheet.
2. Sign and date this form and return it to the Secretary of State at the address provided above.

EXHIBIT B



Status History

NFA ID: 0465474 DAMIAN CASTILLA
as of November 08, 2022

Status	Effective Date
FOREX FIRM PENDING STATUS WITHDRAWN	11/13/2013
NFA MEMBER PENDING STATUS WITHDRAWN	11/13/2013
COMMODITY TRADING ADVISOR PENDING STATUS WITHDRAWN	11/13/2013
FOREX FIRM PENDING	08/15/2013
NFA MEMBER PENDING	08/15/2013
COMMODITY TRADING ADVISOR PENDING	08/15/2013



BASIC ✓

Search Results

0 search results for **DAMIAN, CASTILLA**

Sort by: Individual Name (A-Z)



Your search returned no results.

If you did not find what you are looking for, you may have entered your search terms incorrectly.

Ensure that you have selected the appropriate dropdown—firm name, individual name, NFA ID or pool name—before performing your search again. If your search still returns no results, you may be dealing with an individual or firm that is not registered with the CFTC and not an NFA Member.



NFA ID: 0486701

DCAST CAPITAL INVESTMENTS LLC

Not an NFA Member

Not an NFA Member

Non-Member not subject to NFA oversight.

Firm Exemptions

Read the [CFTC Part 4 Easy Reference Guide](#) to learn more about exemptions. For additional details about CFTC No Action Letters, [click here](#).















Exemption Type 	Status 	Withdrawn Date 	Last Affirmed Date 	Affirmation Due Date 
				
4.14(a)(8)	Withdrawn	04/17/2015	-	-
		Page 1 of 1 		

EXHIBIT C



Business Signature Card

ACCOUNT TITLE ("DEPOSITOR")
DCAST CAPITAL INVESTMENTS, LLC

BUSINESS ADDRESS
11262 SW 73RD TER
MIAMI, FL 33173-2817

ACCOUNT NUMBER 1518
ACCOUNT TYPE Chase Total Business Checking
TAXPAYER ID NUMBER 524
DATE OPENED 01/28/2014
FORM OF BUSINESS Limited Liability Company - Manager Managed (LLC)
ISSUED BY JPMorgan Chase Bank, N.A. (021)
SW 104th St and SW 117 Ave - 125519
PATRICK GRANT
(305) 596-2954
01/28/2014

PRIMARY ID TYPE	PRIMARY ID NUMBER	ISSUER	ISSUANCE DATE	EXPIRATION DATE
Website Documentation	L13000169836	FL	12/09/2013	
SECONDARY ID TYPE	SECONDARY ID NUMBER	ISSUER	ISSUANCE DATE	EXPIRATION DATE
None				

SIGNER(S) TO BE ADDED LATER

ACKNOWLEDGEMENT - By signing this Signature Card, the Depositor applies to open a deposit account at JPMorgan Chase Bank, N.A. (the "Bank"). The Depositor represents and warrants that (i) the signatures appearing below are genuine or facsimile signatures of the person(s) authorized to transact business and (ii) all necessary actions or formalities, where necessary, have been taken to authorize the named person(s) to so act. The Bank is entitled to rely on the authority of the named person(s) until written revocation of such authority is received by the Bank. The Depositor certifies that the information provided to the Bank is true to the best of its knowledge and authorizes the Bank, at its discretion, to obtain credit reports on the Depositor. The Depositor acknowledges receipt of the Bank's Deposit Account Agreement or other applicable account agreement, which include all provisions that apply to this deposit account, and other agreements and service terms for account analysis and other treasury management services if applicable, and agree to be bound by the terms and conditions contained therein as amended from time to time.

PRINTED NAME	TAXPAYER ID #	TITLE	DATE	SIGNATURE
DAMIAN CASTILLA	152-68-6584	Manager	1/28/14	

M1207-01-CS10617 (11/13)



**BUSINESS DEPOSITORY CERTIFICATE (Limited Liability Company)**

X NEW CHANGE

ACCOUNT NO.

5518

ACCOUNT TITLE

DCAST CAPITAL INVESTMENTS, LLC

BANK NAME/NUMBER

JPMorgan Chase Bank, N.A. (021)

BRANCH NAME AND NO.

SW 104th St and SW 117 Ave - 125519

DATE

01/28/2014

PREPARED BY

PATRICK GRANT

PHONE NO.

(305) 596-2954

BUSINESS ADDRESS

11262 SW 73RD TER

MIAMI, FL 33173-2617

TAXPAYER ID NO.

7524

PRODUCT TYPE

Chase Total Business Checking

Legal Name of Organization: DCAST CAPITAL INVESTMENTS, LLC

(the "Organization")

State of Organization: FL

Type of Organization (check one):

☐ Limited liability company managed by its members☒ Limited liability company managed by one or more managers

The individuals signing this Certificate certify to JPMorgan Chase Bank, N.A. (the "Bank") as follows:

- the Organization is a limited liability company, duly organized under the laws of the state of organization listed above;
- the individuals signing this Certificate are, or are authorized representatives of, all of the members (if managed by its members) ("Members") or managers (if managed by managers) ("Managers") of the Organization; and
- the Organization has authorized all actions and agreements described in this Certificate in accordance with all requirements of law and of Organization's organizational documents and bylaws, if any, and the authorizations are now in full force and effect.

Account Opening and Contractual Authorization

Any of the people listed below ("Authorized Persons"), acting alone, may:

- Open or close one or more accounts with the Bank at any time, subject to the Bank's deposit account agreement;
- Act on behalf of the Organization in any matter involving any of the Organization's depository accounts at the Bank;
- Sign all agreements or other documents relating to any depository accounts or other business of the Organization. These agreements & other documents include but are not limited to funds transfer agreements, agreements for automated clearinghouse services, agreements for online services, and safe deposit agreements.

Deposit and Withdrawal Authorization

Each Authorized Person may deposit or withdraw the Organization's funds. Each Authorized Person may sign any and all checks, drafts, and orders drawn against any account of the Organization at the Bank, and may give instructions for account transactions without a signature, such as those initiated via electronic debit, payment, wire transfer, or other withdrawal of funds by computer, electronic or other means. The Bank is authorized to pay any checks or other transactions authorized by the Organization, even if doing so causes or increases an overdraft. Each Authorized Person may endorse for cash, collection, deposit, or negotiation any checks, drafts, notes, bills of exchange, or certificates of deposit, and order the payment or transfer of money between accounts at the Bank and other banks. Endorsements "for deposit" may be written or stamped. The Bank may accept any instrument for deposit to any depository account of the Organization without endorsement or may supply the endorsement of the Organization. The Bank is authorized to pay all checks, drafts, and orders when signed, endorsed, or authorized by any Authorized Person without inquiry as to the circumstances of issue or disposition of the proceeds and regardless of to whom such instruments are payable or endorsed, including those payable to or endorsed to the Authorized Person.

Print Name

DAMIAN CASTILLA

Title

Manager

Facsimile Signatures

Facsimile Signature Authorization

The Bank is authorized and directed to pay checks bearing any form of facsimile or computer-generated signature. If the Organization either uses or provides a signature card authorizing any facsimile or computer-generated signature, the Organization will be solely responsible for any check bearing a similar signature.

Further Authorizations

Each Member or Manager, as applicable, acting alone, is authorized to certify to the Bank the name, title, specimen signature and facsimile signature of any additional Authorized Person, or to instruct the Bank to remove any Authorized Person. The Bank may rely on this Certificate until it receives express written notice of a change or revocation.

FOR THE PRECEDING PURPOSES, each of the undersigned has signed his/her name(s) on the date indicated above.

CERTIFICATION

The undersigned certifies under penalties of perjury that (1) the Organization's Taxpayer Identification Number shown above is correct and (2) the Organization is not subject to backup withholding because: (a) the Organization is exempt from backup withholding, or (b) the Organization has not been notified by the Internal Revenue Service (IRS) that it is subject to backup withholding as a result of failure to report all interest or dividends, or (c) the IRS has notified the Organization that it is no longer subject to backup withholding, and (3) the Organization is a U.S. citizen or other U.S. person (as defined in the Form W-9 Instructions).

If the IRS has notified the Organization that it is subject to backup withholding due to underreporting interest or dividends on its tax return, cross out item 2 above.

Note: For a disregarded entity, if the owner is not signing below, he, she or it must submit IRS Form W-9 or the appropriate Form W-8.

☐ The Organization is a foreign entity, and therefore the penalties of perjury certification on this form do not apply. In addition, the Organization has certified its foreign status to the Bank by completing the appropriate Form W-8.

M1207-04-CS (11/13)

JPMorgan Chase Bank, N.A. Member FDIC

Page 1





BUSINESS DEPOSITORY CERTIFICATE
(Limited Liability Company)

ACCOUNT NO. XXXX 5518

The Internal Revenue Service does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.

Member or Manager  Date 1/23/17
Printed Name: DAMIAN CASTILLA

Member or Manager _____ Date _____
Printed Name: _____

Member or Manager _____ Date _____
Printed Name: _____

Member or Manager _____ Date _____
Printed Name: _____

Member or Manager _____ Date _____
Printed Name: _____

Member or Manager _____ Date _____
Printed Name: _____

Member or Manager _____ Date _____
Printed Name: _____

Member or Manager _____ Date _____
Printed Name: _____

(Attach additional pages if necessary to reflect all Members or Managers)

M1207-04-CS (11/13)

DISTRIBUTION: 1) National Account Services 2) Customer
JPMorgan Chase Bank, N.A. Member FDIC

Page 2



SB1219576-F1

Business Account Application



Bank Name: WELLS FARGO BANK, N.A.		Branch Name: WEST KENDALL	
Banker Name: ESTEFANIA DUQUE LOPEZ		Officer/Portfolio Number: F1615	Date: 09/30/2020
Banker Phone: 305/263-1550	Branch Number: 10948	Banker AU: 0066544	Banker MAC: Z6177-010

To help the government fight the funding of terrorism and money laundering activities, U.S. Federal law requires financial institutions to obtain, verify, and record information that identifies each person (individuals and businesses) who opens an account. What this means for you: When you open an account, we will ask for your name, address, date of birth and other information that will allow us to identify you. We may also ask to see your driver's license or other identifying documents.

New Account Information

☐ New Deposit Account(s) Only ☒ New Deposit Account(s) and Business Credit Card

Account 1 Product Name: Wells Fargo Business Choice Checking			Purpose of Account 1: General Operating Account	
COID: 287	Product: DDA	Account Number: [REDACTED] 2088	Opening Deposit: \$40.00	Type of Funds: CACK
New Account Kit: BD-004651366			Checking/Savings Bonus Offer Available: NO	

Related Customer Information

Customer 1 Name: DCAST CAPITAL INVESTMENTS LLC	
Enterprise Customer Number (ECN): 100060041423118	Account Relationship: Sole Owner
Customer 2 Name: DAMIAN CASTILLA	
Enterprise Customer Number (ECN): 727107006435616	Account Relationship: Signer

Checking/Savings Statement Mailing Information

Name(s) and Information Listed on Statement: DCAST CAPITAL INVESTMENTS LLC	Statement Mailing Address: 11262 SW 73RD TER	
	Address Line 2:	
	City: MIAMI	State: FL
	ZIP/Postal Code: 33173-2617	Country: US



Customer 1 Information

Customer Name: DCAST CAPITAL INVESTMENTS LLC			
Enterprise Customer Number (ECN): 100060041423118		Street Address: 11262 SW 73RD TER	
Account Relationship: Sole Owner		Address Line 2:	
Taxpayer Identification Number (TIN): [REDACTED] 7524		Address Line 3:	
TIN Type: EIN			
Business Type: Limited Liability Company		City: MIAMI	State: FL
Business Sub-Type/Tax Classification:		ZIP/Postal Code: 33173-2617	Country: US
Non-Profit: No			
Date Originally Established: 12/09/2013	Current Ownership Since:	Number of Employees: 1	Business Phone: 305/335-5492
		Fax:	
Annual Gross Sales: \$700,000.00	Year Sales Reported: 09/30/2020	Fiscal Year End:	Cellular Phone:
		Pager:	
Primary Financial Institution:	Number of Locations: 1	e-Mail Address:	
Primary State 1:	Primary State 2:	Primary State 3:	Website:
Primary Country 1:	Primary Country 2:	Primary Country 3:	Sales Market: LOCAL
Industry: Other Services (except Public Administration)			
Description of Business: FINANCIAL MARKET INVESTMENTS			
Major Suppliers/Customers:			

Bank Use Only

Name/Entity Verification: Secretary of State		Address Verification: NONE	
BACC Reference Number: 202740000175			
Document Filing Number/Description: L13000169836	Filing Country: US	Filing State: FL	Filing Date: 12/09/2013
Expiration Date:			
Country of Registration: US	State of Registration: FL	International Transactions:	Check Reporting: NO RECORD



Owner/Key Individual 1 Information

Customer Name: DAMIAN CASTILLA			Residence Address: 11262 SW 73RD TER		
Business Relationship: Owner with Control of the Entity			Address Line 2:		
Position/Title:	Date of Birth:	Percent of Ownership:	Address Line 3:		
	1973	100.0			
Enterprise Customer Number (ECN): 727107006435616			City: MIAMI		State: FL
Taxpayer Identification Number (TIN): 6584		TIN Type: SSN	ZIP/Postal Code: 33173-2617		Country: US
Primary ID Type: DLIC	Primary ID Description: [REDACTED]		Country of Citizenship: US		Permanently Resides in US:
Primary ID St/Ctry/Prov: FL	Primary ID Issue Date: 07/12/2013	Primary ID Expiration Date: 05/14/2021	Check Reporting: NO RECORD		
Secondary ID Type: OTHR	Secondary ID Description: WF VISA 8300				
Secondary ID State/Country:	Secondary ID Issue Date:	Secondary ID Expiration Date: 10/30/2023			

Authorized Signer 1 Information

Authorized Signer Name: DAMIAN CASTILLA			Residence Address: 11262 SW 73RD TER		
Occupation: Prod, Sales, Trade, Se			Address Line 2:		
Position/Job Title: Owner	Date of Birth: 1973	Address Line 3:			
Taxpayer Identification Number (TIN): 6584	TIN Type: SSN	City: MIAMI		State: FL	
Primary ID Type: DLIC	Primary ID Description: [REDACTED]		ZIP/Postal Code: 33173-2617		Country: US
Primary ID St/Ctry/Prov: FL	Primary ID Issue Date: 07/12/2013	Primary ID Expiration Date: 05/14/2021	Country of Citizenship: US		Permanently Resides in US:
Secondary ID Type: OTHR	Secondary ID Description: WF VISA 8300				
Secondary ID State/Country:	Secondary ID Issue Date:	Secondary ID Expiration Date: 10/30/2023			



Certified/Agreed To

Owner/Key Individual 1 Name
DAMIAN CASTILLA

Position/Title:

Owner/Key Individual 1 Signature

DAMIAN CASTILLA



☐ Submit manually

☐ Signature not required

Date:

09/30/2020

Authorized Signers - Signature Capture

Authorized Signer 1 Name
DAMIAN CASTILLA

Position/Title:

Authorized Signer 1 Signature

DAMIAN CASTILLA



☐ Submit manually

☐ Signature not required

Date:

09/30/2020

Terms and Conditions for the Wells Fargo® Business Platinum Credit Card

By signing in the "Certified/Agreed To" or "Authorized Signers - Signature Capture" sections of this Application ("Application"), if I am an owner of the business, I accept on behalf of the Customer named above ("Applicant") all terms and conditions, including the additional terms of acceptance appearing below, and the terms and conditions of the Customer Agreement that will be sent to the Applicant. By signing this form, I also accept **in my individual capacity** the terms of guaranty appearing below. I agree that a facsimile of my signature, in any capacity, may be used to evidence my acceptance of these agreements. Any new business credit card application for the same business will supersede the pre-approved business credit card offer. Non-profit entities are not eligible for pre-approved business credit card offers.

I certify that I am authorized to submit this Application on behalf of the Applicant and that all information and documents provided in connection with the Application, including federal and state income tax returns (if any), are true, correct, and complete. I further certify that this credit request is for my business only, and that all proceeds will be used solely for business or commercial purposes. I authorize Wells Fargo Bank, N.A. ("Bank") to obtain balance and payoff information on all accounts requiring payoff as a condition of approving this Application and to obtain consumer and business reports from and to report credit information to others, including the Internal Revenue Service and state taxing authorities, about me and my business. I agree to notify Bank promptly of any material change in such information. I acknowledge that (i) this Application is subject to final approval of the Applicant and its owners, and that (ii) additional information may be required in order for the Bank to make the final credit decision. I agree to pay Bank's costs and attorney's fees in enforcing the Customer Agreement. I further agree that use of any feature of the Business Platinum Credit Card account may be used as evidence of the foregoing authorizations, acceptances, and agreements. If the signer is married and resides in Arizona, the spouse's signature is required. I understand that the offer may be amended or cancelled.

I, along with each owner signing this Application, jointly and severally unconditionally guarantee **in my individual capacity** (even though I may place a title or other designation next to my signature), and promise to pay to Bank all indebtedness of the Applicant at any time arising under or relating to this Application and/or the Customer Agreement, as well as any extensions, increases, or renewals of that indebtedness. As guarantor, I waive (a) presentment, demand, protest, and notice of non-payment; (b) any defense arising by reason of any defense of the Applicant or other guarantor; and (c) the right to require Bank to proceed against Applicant or any other guarantor, to pursue any remedy in connection with the guaranteed indebtedness, or to notify guarantor of any additional indebtedness incurred by the Applicant, or of any changes in the Applicant's financial condition. I also authorize Bank, without notice or prior consent, to (x) extend, modify, compromise, accelerate, renew, increase, or otherwise change the terms of the guaranteed indebtedness, (y) proceed against one or more guarantors without proceeding against the Applicant or another guarantor; and (z) release or substitute any Applicant, co-Applicant and/or guarantor. I agree (i) I will pay Bank's costs and attorneys' fees in enforcing this guaranty; (ii) this guaranty is made in South Dakota and will be governed by South Dakota law; (iii) this guaranty shall benefit the Bank and its successors and assigns; and (iv) an electronic facsimile of my signature, in any capacity, may be used as evidence of my agreement to the terms of the guaranty.

Telephone Monitoring And Contacting You: The bank may monitor or record calls. You agree, in order for Bank to service the Account or to collect any amounts you may owe, that we may from time to time make calls and send text messages to you, using prerecorded/artificial voice messages and/or through the use of an automatic dialing device, at any telephone number associated with your account, including mobile telephone numbers that could result in charges to you. You also expressly consent to Bank sending email messages regarding your Account to your email address.



Features and Pricing

- (i) **Annual Fee** \$0.
- (ii) **Annual Percentage Rate** is variable based on Wells Fargo's Prime Rate plus a spread. APR may differ for Purchases and Cash transactions.
- (iii) **Grace Period for Repayment of the Balance for Purchase** No less than 25 days.
- (iv) **Minimum Payment** See the Customer Agreement for details.

Business Platinum Credit Card Account Details

Individual Cardholder Name (First, Last):	Individual Credit Line Limit:	Business Owner:
DAMIAN CASTILLA	\$10,000	Yes
Total Credit Line Limit (Can be less than or equal to amount approved for business):	\$10,000	

Features enrolled in:

Wells Fargo Business Card Rewards®	Automatic Payment	Overdraft Protection
Cash Back Advantage	No	No

Certificate of Authority

Each person who signs the "Certified/Agreed To" section of this Application certifies that:

- A. The Customer's use of any Wells Fargo Bank, N.A. ("Bank") deposit account, product or service will confirm the Customer's receipt of, and agreement to be bound by, the Bank's applicable fee and information schedule and account agreement that includes the Arbitration Agreement under which any dispute between the Customer and the Bank relating to the Customer's use of any Bank deposit account, product or service will be decided in an arbitration proceeding before a neutral arbitrator as described in the Arbitration Agreement and not by a jury or court trial.**
- B. Each person who signs the "Certified/Agreed To" section of this Application or whose name, any applicable title and specimen signature appear in the "Authorized Signers - Signature Capture" section of this Application is authorized on such terms as the Bank may require to:
- (1) Enter into, modify, terminate and otherwise in any manner act with respect to accounts at the Bank and agreements with the Bank or its affiliates for accounts and/or services offered by the Bank or its affiliates (other than letters of credit or loan agreements);
 - (2) Authorize (by signing or otherwise) the payment of Items from the Customer's account(s) listed on this Business Account Application (including without limitation any Item payable to (a) the individual order of the person who authorized the Item or (b) the Bank or any other person for the benefit of the person who authorized the Item) and the endorsement of Deposited Items for deposit, cashing or collection (see the Bank's applicable account agreement for the definitions of "Item" and "Deposited Item");
 - (3) Give instructions to the Bank in writing (whether the instructions include the manual signature or a signature that purports to be the facsimile or other mechanical signature including a stamp of an Authorized Signer as the Customer's authorized signature without regard to when or by whom or by what means or in what ink color the signature may have been made or affixed), orally, by telephone or by any electronic means in regard to any Item and the transaction of any business relating to the Customer's account(s), agreements or services, and the Customer shall indemnify and hold the Bank harmless for acting in accordance with such instructions; and
 - (4) Delegate the person's authority to another person(s) or revoke such delegation, in a separate signed writing delivered to the Bank.
- C. If a code must be communicated to the Bank in order to authorize an Item, and the code is communicated, the Item will be binding on the Customer regardless of who communicated the code.
- D. Each person who is either the Customer (sole proprietor) or an owner of the Customer has read and agreed to the Terms and Conditions for the Wells Fargo® Business Platinum Credit Card appearing below including the personal guaranty.**
- E. Each transaction described in this Certificate of Authority conducted by or on behalf of the Customer prior to delivery of this Certificate is in all respects ratified.
- F. If the Customer is a tribal government or tribal government agency, the Customer waives sovereign immunity from suit with respect to the Customer's use of any Bank account, product or service referred to in this Certificate.
- G. The information provided in this Application is correct and complete, each person who signs the "Certified/Agreed To" section of this Application and each person whose name appears in the "Authorized Signers-Signature Capture" section of this Application holds any position indicated, and the signature appearing opposite the person's name is authentic.
- H. The Customer has approved this Certificate of Authority or granted each person who signs the "Certified/Agreed To" section of this Application the authority to do so on the Customer's behalf by:
- (1) resolution, agreement or other legally sufficient action of the governing body of the Customer, if the Customer is not a trust or a sole proprietor;
 - (2) the signature of each of the Customer's trustee(s), if the Customer is a trust; or
 - (3) the signature of the Customer, if the Customer is a sole proprietor.



Business Account Application



Bank Name: WELLS FARGO BANK, N.A.		Branch Name: KENDALL TOWN & COUNTRY	
Banker Name: RODRIGUEZ, MATTHEW SCOTT		Officer/Portfolio Number: C7239	Date: 09/20/2019
Banker Phone: 305/595-7556	Branch Number: 10846	Banker AU: 0066549	Banker MAC: Z6364-010

To help the government fight the funding of terrorism and money laundering activities, U.S. Federal law requires financial institutions to obtain, verify, and record information that identifies each person (individuals and businesses) who opens an account. What this means for you: When you open an account, we will ask for your name, address, date of birth and other information that will allow us to identify you. We may also ask to see your driver's license or other identifying documents.

New Account Information

☐ New Deposit Account(s) Only ☒ New Deposit Account(s) and Business Credit Card

Account 1 Product Name: Wells Fargo Simple Business Checking			Purpose of Account 1: General Operating Account	
COID: 287	Product: DDA	Account Number: [REDACTED] 4690	Opening Deposit: \$100.00	Type of Funds: CACK
New Account Kit: BD-000946528			Checking/Savings Bonus Offer Available: YES	Bonus Offer Code: 2HJTRM

Related Customer Information

Customer 1 Name: FIVE TRADERS LLC	
Enterprise Customer Number (ECN): 107709432009514	Account Relationship: Sole Owner
Customer 2 Name: DAMIAN CASTILLA	
Enterprise Customer Number (ECN): 727107006435616	Account Relationship: Signer

Checking/Savings Statement Mailing Information

Name(s) and Information Listed on Statement: FIVE TRADERS LLC	Statement Mailing Address: 1712 PIONEER AVE STE 500	
	Address Line 2:	
	City: CHEYENNE	State: WY
	ZIP/Postal Code: 82001-4406	Country: US



Customer 1 Information

Customer Name:

FIVE TRADERS LLC

Enterprise Customer Number (ECN):

107709432009514

Account Relationship:

Sole Owner

Taxpayer Identification Number (TIN):

4008

TIN Type:

EIN

Street Address:

1712 PIONEER AVE STE 500

Address Line 2:

Address Line 3:

Business Type:

Limited Liability Company

City:

CHEYENNE

State:

WY

Business Sub-Type/Tax Classification:

S Corporation

Non-Profit:

No

ZIP/Postal Code:

82001-4406

Country:

US

Date Originally Established:

04/26/2019

Current Ownership Since:

04/26/2019

Number of Employees:

2

Business Phone:

305/335-5492

Fax:

Annual Gross Sales:

\$125,000.00

Year Sales Reported:

04/26/2019

Fiscal Year End:

Cellular Phone:

Pager:

Primary Financial Institution:

Number of Locations:

2

e-Mail Address:

Primary State 1:

Primary State 2:

Primary State 3:

Website:

Primary Country 1:

Primary Country 2:

Primary Country 3:

Sales Market:

LOCAL

Industry:

Finance and Insurance

Description of Business:

Investment trader

Major Suppliers/Customers:

Bank Use Only

Name/Entity Verification:

Articles of Organization

Address Verification:

FP/FD

BACC Reference Number:

192630001635

Document Filing Number/Description:

2019-000853261

Filing Country:

US

Filing State:

WY

Filing Date:

04/26/2019

Expiration Date:

Country of Registration:

US

State of Registration:

WY

International Transactions:

Check Reporting:


NO RECORD



Owner/Key Individual 1 Information

Customer Name: DAMIAN CASTILLA			Residence Address: 11262 SW 73RD TER		
Business Relationship: Owner with Control of the Entity			Address Line 2:		
Position/Title:	Date of Birth:	Percent of Ownership:	Address Line 3:		
	1973	100.0			
Enterprise Customer Number (ECN): 727107006435616			City: MIAMI		State: FL
Taxpayer Identification Number (TIN): 5584		TIN Type: SSN	ZIP/Postal Code: 33173-2617		Country: US
Primary ID Type: DLIC	Primary ID Description: [REDACTED]		Country of Citizenship: US		Permanently Resides in US:
Primary ID St/Ctry/Prov: FL	Primary ID Issue Date: 07/12/2013	Primary ID Expiration Date: 05/14/2021	Check Reporting: NO RECORD		
Secondary ID Type: OTHR	Secondary ID Description: [REDACTED]				
Secondary ID State/Country:	Secondary ID Issue Date:	Secondary ID Expiration Date:			

Certified/Agreed To

Owner/Key Individual 1 Name DAMIAN CASTILLA		Position/Title:
Owner/Key Individual 1 Signature DAMIAN CASTILLA 		Date: 09/20/2019

☐ Submit manually
☐ Signature not required



Request for Taxpayer Identification Number and Certification

(Substitute Form W-9)

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
2. UNLESS I HAVE CHECKED ONE OF THE BOXES BELOW, I am not subject to backup withholding either because I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or the IRS has notified me that I am no longer subject to backup withholding (does not apply to real estate transactions, mortgage interest paid, the acquisition or abandonment of secured property, contributions to an Individual Retirement Arrangement (IRA), and payment other than interest and dividends).
☐ I am subject to backup withholding ☐ I am exempt from backup withholding
3. I am a U.S. citizen or other U.S. person.
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct. (Does not apply to U.S. based accounts)

Note: The Internal Revenue Service does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.

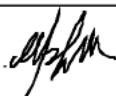
Tax Responsible Customer Name:

FIVE TRADERS LLC

Taxpayer Identification Number (TIN):

██████████ 4008

TIN Certification Signature:

DAMIAN CASTILLA 

- ☐ Submit manually
☐ Signature not required

Date:
09/20/2019

Authorized Signers - Signature Capture

Authorized Signer 1 Name

DAMIAN CASTILLA

Position/Title:

Authorized Signer 1 Signature

DAMIAN CASTILLA 

- ☐ Submit manually
☐ Signature not required

Date:
09/20/2019



Terms and Conditions for the Wells Fargo® Business Platinum Credit Card

By signing in the "Certified/Agreed To" or "Authorized Signers - Signature Capture" sections of this Application ("Application"), if I am an owner of the business, I accept on behalf of the Customer named above ("Applicant") all terms and conditions, including the additional terms of acceptance appearing below, and the terms and conditions of the Customer Agreement that will be sent to the Applicant. By signing this form, I also accept **in my individual capacity** the terms of guaranty appearing below. I agree that a facsimile of my signature, in any capacity, may be used to evidence my acceptance of these agreements. Any new business credit card application for the same business will supersede the pre-approved business credit card offer. Non-profit entities are not eligible for pre-approved business credit card offers.

I certify that I am authorized to submit this Application on behalf of the Applicant and that all information and documents provided in connection with the Application, including federal and state income tax returns (if any), are true, correct, and complete. I further certify that this credit request is for my business only, and that all proceeds will be used solely for business or commercial purposes. I authorize Wells Fargo Bank, N.A. ("Bank") to obtain balance and payoff information on all accounts requiring payoff as a condition of approving this Application and to obtain consumer and business reports from and to report credit information to others, including the Internal Revenue Service and state taxing authorities, about me and my business. I agree to notify Bank promptly of any material change in such information. I acknowledge that (i) this Application is subject to final approval of the Applicant and its owners, and that (ii) additional information may be required in order for the Bank to make the final credit decision. I agree to pay Bank's costs and attorney's fees in enforcing the Customer Agreement. I further agree that use of any feature of the Business Platinum Credit Card account may be used as evidence of the foregoing authorizations, acceptances, and agreements. If the signer is married and resides in Arizona, the spouse's signature is required. I understand that the offer may be amended or cancelled.

I, along with each owner signing this Application, jointly and severally unconditionally guarantee **in my individual capacity** (even though I may place a title or other designation next to my signature), and promise to pay to Bank all indebtedness of the Applicant at any time arising under or relating to this Application and/or the Customer Agreement, as well as any extensions, increases, or renewals of that indebtedness. As guarantor, I waive (a) presentment, demand, protest, and notice of non-payment; (b) any defense arising by reason of any defense of the Applicant or other guarantor; and (c) the right to require Bank to proceed against Applicant or any other guarantor, to pursue any remedy in connection with the guaranteed indebtedness, or to notify guarantor of any additional indebtedness incurred by the Applicant, or of any changes in the Applicant's financial condition. I also authorize Bank, without notice or prior consent, to (x) extend, modify, compromise, accelerate, renew, increase, or otherwise change the terms of the guaranteed indebtedness, (y) proceed against one or more guarantors without proceeding against the Applicant or another guarantor; and (z) release or substitute any Applicant, co-Applicant and/or guarantor. I agree (i) I will pay Bank's costs and attorneys' fees in enforcing this guaranty; (ii) this guaranty is made in South Dakota and will be governed by South Dakota law; (iii) this guaranty shall benefit the Bank and its successors and assigns; and (iv) an electronic facsimile of my signature, in any capacity, may be used as evidence of my agreement to the terms of the guaranty.

Telephone Monitoring And Contacting You: The bank may monitor or record calls. You agree, in order for Bank to service the Account or to collect any amounts you may owe, that we may from time to time make calls and send text messages to you, using prerecorded/artificial voice messages and/or through the use of an automatic dialing device, at any telephone number associated with your account, including mobile telephone numbers that could result in charges to you. You also expressly consent to Bank sending email messages regarding your Account to your email address.

Features and Pricing

- (i) **Annual Fee** \$0.
- (ii) **Annual Percentage Rate** is variable based on Wells Fargo's Prime Rate plus a spread. APR may differ for Purchases and Cash transactions.
- (iii) **Grace Period for Repayment of the Balance for Purchase** No less than 25 days.
- (iv) **Minimum Payment** See the Customer Agreement for details.

Business Platinum Credit Card Account Details

Individual Cardholder Name (First, Last):	Individual Credit Line Limit:	Business Owner:
DAMIAN CASTILLA	\$10,000	Yes
Total Credit Line Limit (Can be less than or equal to amount approved for business):	\$10,000	

Features enrolled in:

Wells Fargo Business Card Rewards®	Automatic Payment	Overdraft Protection
Cash Back Advantage	No	Yes

Certificate of Authority

Each person who signs the "Certified/Agreed To" section of this Application certifies that:

A. The Customer's use of any Wells Fargo Bank, N.A. ("Bank") deposit account, product or service will confirm the Customer's receipt of, and agreement to be bound by, the Bank's applicable fee and information schedule and account agreement that includes the Arbitration Agreement under which any dispute between the Customer and the Bank relating to the Customer's use of any Bank deposit account, product or service will be decided in an arbitration proceeding before a neutral arbitrator as described in the Arbitration Agreement and not by a jury or court trial.

B. Each person who signs the "Certified/Agreed To" section of this Application or whose name, any applicable title and specimen signature appear in the "Authorized Signers - Signature Capture" section of this Application is authorized on such terms as the Bank may require to:

- (1) Enter into, modify, terminate and otherwise in any manner act with respect to accounts at the Bank and agreements with the Bank or its affiliates for accounts and/or services offered by the Bank or its affiliates (other than letters of credit or loan agreements);



- (2) Authorize (by signing or otherwise) the payment of Items from the Customer's account(s) listed on this Business Account Application (including without limitation any Item payable to (a) the individual order of the person who authorized the Item or (b) the Bank or any other person for the benefit of the person who authorized the Item) and the endorsement of Deposited Items for deposit, cashing or collection (see the Bank's applicable account agreement for the definitions of "Item" and "Deposited Item");
- (3) Give instructions to the Bank in writing (whether the instructions include the manual signature or a signature that purports to be the facsimile or other mechanical signature including a stamp of an Authorized Signer as the Customer's authorized signature without regard to when or by whom or by what means or in what ink color the signature may have been made or affixed), orally, by telephone or by any electronic means in regard to any Item and the transaction of any business relating to the Customer's account(s), agreements or services, and the Customer shall indemnify and hold the Bank harmless for acting in accordance with such instructions; and
- (4) Delegate the person's authority to another person(s) or revoke such delegation, in a separate signed writing delivered to the Bank.

C. If a code must be communicated to the Bank in order to authorize an Item, and the code is communicated, the Item will be binding on the Customer regardless of who communicated the code.

D. Each person who is either the Customer (sole proprietor) or an owner of the Customer has read and agreed to the Terms and Conditions for the Wells Fargo® Business Platinum Credit Card appearing below including the personal guaranty.

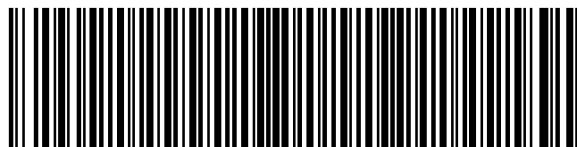
E. Each transaction described in this Certificate of Authority conducted by or on behalf of the Customer prior to delivery of this Certificate is in all respects ratified.

F. If the Customer is a tribal government or tribal government agency, the Customer waives sovereign immunity from suit with respect to the Customer's use of any Bank account, product or service referred to in this Certificate.

G. The information provided in this Application is correct and complete, each person who signs the "Certified/Agreed To" section of this Application and each person whose name appears in the "Authorized Signers-Signature Capture" section of this Application holds any position indicated, and the signature appearing opposite the person's name is authentic.

H. The Customer has approved this Certificate of Authority or granted each person who signs the "Certified/Agreed To" section of this Application the authority to do so on the Customer's behalf by:

- (1) resolution, agreement or other legally sufficient action of the governing body of the Customer, if the Customer is not a trust or a sole proprietor;
- (2) the signature of each of the Customer's trustee(s), if the Customer is a trust; or
- (3) the signature of the Customer, if the Customer is a sole proprietor.



Consumer Account Application

**WELLS
FARGO**

Bank Name:		Branch Name:	
WELLS FARGO BANK, N.A.		KENDALL TOWN & COUNTRY	
Banker Name:		Officer/Portfolio Number:	Date:
RODRIGUEZ, MATTHEW SCOTT		C7239	09/16/2019
Banker Phone:	Branch Number:	Banker AU:	Banker MAC:
305/595-7556	10846	0066549	Z6364-010

To help the government fight the funding of terrorism and money laundering activities, U.S. Federal law requires financial institutions to obtain, verify, and record information that identifies each person (individuals and businesses) who opens an account. What this means for you: When you open an account, we will ask for your name, address, date of birth and other information that will allow us to identify you. We may also ask to see your driver's license or other identifying documents.

New Account Information

Product Name:	Account Number:	Product:
Wells Fargo Everyday Checking	██████████4666	DDA
Purpose of Account:	Minor:	COID:
Personal/Household income		287
Product Name:	Account Number:	Product:
Wells Fargo Way2Save Savings	██████████0881	DDA
Purpose of Account:	Minor:	COID:
Savings		287

New Account Kit:	Checking/Savings Bonus Offer Available:
CD-002081583	No

Related Customers

Customer Name:	Account Relationship:
DAMIAN CASTILLA	Sole Owner

Statement Mailing Information

Customer(s) Listed on Statement:	Statement Mailing Address:	
DAMIAN CASTILLA	11262 SW 73RD TER	
	Address Line 2:	
	City:	State:
	MIAMI	FL
	ZIP/Postal Code:	Country:
	33173-2617	US



Customer 1 Information

Customer Name: DAMIAN CASTILLA		Street Address: 11262 SW 73RD TER	
Customer Number (ECN): 727107006435616		Address Line 2:	
Account Relationship: Sole Owner		Address Line 3:	
Taxpayer Identification Number (TIN): [REDACTED] 6584	TIN Type: SSN	Date of Birth: [REDACTED] 973	City: MIAMI
Primary ID Type: DLIC		Primary ID Description: [REDACTED]	State: FL
Primary ID St/Ctry/Prov: FL	Primary ID Issue Date: 07/12/2013	Primary ID Expiration Date: 05/14/2021	ZIP/Postal Code: 33173-2617
Secondary ID Type: OTHR OTHR		Secondary ID Description: [REDACTED]	Country: US
Secondary ID State/Country:	Secondary ID Issue Date:	Secondary ID Expiration Date:	Time at this address: Year(s) Month(s)
Home Phone: [REDACTED]			Directional Address: (Document when no physical residence, business or alternate street address.)
Business Phone: 305/335-5492			Previous Street Address:
Current Employer: Five Traders			City: [REDACTED]
Check Reporting: NO RECORD			State: [REDACTED]
Customer Status: Customer present			ZIP/Postal Code: [REDACTED]
			Country: [REDACTED]
			Time at this address: Year(s) Month(s)
			Country of Citizenship: US

Request for Taxpayer Identification Number and Certification

(Substitute Form W-9)

Under penalties of perjury, I certify that:

- The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
- UNLESS I HAVE CHECKED ONE OF THE BOXES BELOW, I am not subject to backup withholding either because I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or the IRS has notified me that I am no longer subject to backup withholding (does not apply to real estate transactions, mortgage interest paid, the acquisition or abandonment of secured property, contributions to an Individual Retirement Arrangement (IRA), and payment other than interest and dividends).
- I am a U.S. citizen or other U.S. person. ☐ I am subject to backup withholding ☐ I am exempt from backup withholding
- The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct. (Does not apply to U.S. based accounts)

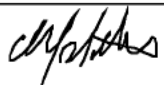
Tax Responsible Customer Name:

DAMIAN CASTILLA

Taxpayer Identification Number (TIN):

[REDACTED] 6584

TIN Certification Signature

DAMIAN CASTILLA


- ☐ Submit manually
☐ Signature not required

Date:

09/16/2019

Customer Signatures

Everything I have stated in this application is correct. You are authorized to make any inquiries that you consider appropriate to determine if you should open or maintain the account. This may include ordering a credit report or other report (i.e. information from any motor vehicle department or other state agency) on me. **I have received a copy of the applicable account agreement and the privacy policy (each may be amended from time to time) and agree to be bound by their terms.** I also agree to the terms of the dispute resolution program described in the foregoing agreements. **Under the dispute resolution program, our disputes will be decided before one or more neutral persons in an arbitration proceeding and not by a jury trial or a trial before a judge.**





Customer 1 Name

DAMIAN CASTILLA

Customer 1 Signature

DAMIAN CASTILLA

☐ Submit manually

☐ Signature not required

Date:

09/16/2019



EXHIBIT D

Dorman Trading LLC

For Internal Use Only - To Be Completed By Broker

Name of Broker or Account Executive: Rich Reilley

Introducing Broker (if applicable): NinjaTrader Brokerage

Sales Code: 399 Account Number: J3071
Account Name: DCAST Capital Investments, LLC
Address: 11262 SW 73 Terrace
Miami, Florida 33173
United States

Email Address: dcastcapital@att.net

Customer's Occupation (Please specify in English) ____

Commissions and Fees

(Please enter all round-turn rates)

	<u>Day</u>	<u>Overnight</u>	<u>Spread</u>	<u>Options</u>
1. All Exchanges	<u>1.90 US +fees</u>	_____	_____	_____
2. Chicago Exchanges	_____	_____	_____	_____
3. NY Exchanges	_____	_____	_____	_____
4. Eurex	<u>1.90 EU +fees</u>	_____	_____	_____
5. Other	_____	_____	_____	_____

Futures Comm to be charged (Check one) ☒ Half In / Half Out ☐ Round Turn

Option Comm to be charged (Check One) ☐ Half In / Half Out ☒ Round Turn

Fees: (Check here to indicate fees to be charged)

☐ Other _____
☒ NFA, Clearing, Exchange & Brokerage

Do you anticipate original requirements in
excess of US \$100,000 ☐ Yes ☐ No

Margins: ☒ Spec ☐ Hedge

Signature of Account Executive: _____

Account Approval: _____

(Signature of IB or FIB Principal)

NO TRADING PERMITTED UNTIL THE ACCT IS APPROVED BY DORMAN TRADING LLC



Application Type : LLC
Application Status: Complete

Date Created: 2/13/2015 8:42:18 AM
Date Submitted: 3/3/2015 9:52:17 AM
Date Declined/Approved: No Decision Submitted

Organization Information

Personnel Information

Financial Legal Information

Representations

Risk Disclosure Statement

Supplement to Risk Disclosure Statement

Electronic Trading and Order Routing Systems Disclosure Statement

Uniform Notification Regarding Access to Market Data

Notice Regarding Average Price System

Direct Foreign Order Transmittal Disclosure Statement

CME Disclosure Statement for Payment for Order Flow

Non-Cash Margin Disclosure Statement

Special Notice to Foreign Brokers and Foreign Traders

Notice to Introduced Customers

Privacy Policy

Conflicts of Interest

USA Patriot Act Notice and Anti Money Laundering Policy Statement

Futures Customer Agreement

Signed Disclosure Form

Consent To Delivery of Statements by Electronic Media

Organization Information

Broker Name

Is this your broker? ☒ Yes ☐ No

Referred Broker Name

Company Name

Tax ID (US accounts only)

Country ▼

Address 1

Address 2

City

State ▼

Zip/Postal Code

Phone

Fax

Email

Website

☒ Making address is the same

Country ▼

Address 1

Address 2

City

State ▼

Zip/Postal Code

Email

Date of Organization (Date format: mm/dd/yyyy)

State of Organization (US accounts only)

Nature of Business

Legal Entity Identifier (LEI)

Registered Agent

OK
DD
3/5/15

Substitute W-9 Form
Request for Taxpayer
Identification Number and
Certification
Finished

Country United States
Address 1 11262 SW 73 Terrace
Address 2
City Miami
State Florida
Zip/Postal Code 33173

Personnel Information

Member/Manager

First Name Damian
Last Name Castilla
Title MGR
Social Security 5584

☒ My mailing address is the same as above?

Country United States
Address 1 11262 SW 73 Terrace
Address 2
City Miami
State Florida
Zip/Postal Code 33173
Email dcastcapital@att.net

Number of Members 1

Member 1

First Name
Last Name
Social Security
Country Select Country
Address 1
Address 2
City
State Select State
Zip/Postal Code
Email

Member 2

First Name
Last Name

Country United States
Address 1 11262 SW 73 Terrace
Address 2
City Miami
State Florida
Zip/Postal Code 33173
Mobile 305-335-5492
Email dcastcapital@att.net

Is the person authorized to trade, an officer of the company?

☒ Yes ☐ No

Financial/Legal Information

Net Income (in US Dollars)

☐ \$25,000 or less ☐ \$25,001 – 100,000
☒ \$100,001 – 500,000 ☐ More than \$500,000

Net Assets (in US Dollars)

☐ \$50,000 or less ☐ \$50,001 – 250,000
☒ \$250,000 – 1,000,000 ☐ More than \$1,000,000

Amount to be deposited to trading account

2000

Bank Information

Bank Name Chase Bank
Account Number 3518
Country United States
Address 1 11720 SW 104 ST
Address 2
City Miami
State Florida
Zip/Postal Code 33186

Accounts with other brokers

Broker Name FXCM
Country United States
Address 1 55 Water ST 50th Floor
Address 2
City New York
State New York
Zip/Postal Code 10041

Account balance with other brokers 27000

Will this account be funded by a transfer from another broker?

☐ Yes ☒ No

Representations

Do the Members and Managers:

Understand the risk of loss in trading futures?

☒ Yes ☐ No

Understand the use of leverage in trading futures?

☒ Yes ☐ No

Understand the possibility of losing more than your account balance?

☒ Yes ☐ No

Understand that you may be required to make additional deposits to maintain the margins required on your positions?

☒ Yes ☐ No

Have any pending or past disputes regarding futures trading?

☐ Yes ☒ No

If yes, please explain

Have any current or previous registrations with the NFA or FINRA?

☐ Yes ☒ No

If yes, please describe and include NFA ID #

Have any relatives employed at Dorman Trading or your Dorman Trading broker?

☐ Yes ☒ No

If yes, please describe

Is this a hedge account?

☐ Yes ☒ No

Is this a Commodity Pool?

☐ Yes ☒ No

Commodity pool type

☐ Registered ☐ Exempt

Does the Company have an offering circular or otherwise solicit participation in the Company?

☐ Yes ☒ No

Are there any other persons or entities with an interest in this account?

☐ Yes ☒ No

If yes, please explain

Will all of the deposits to the Company account come from accounts in the name of the Company?

☒ Yes

☐ No (Dorman will not accept any deposits from a client other than the named account holder.)

DORMAN TRADING, L.L.C.

141 W JACKSON BLVD. - CHICAGO, IL 60604

SUITE 2070

312-341-7070

PERSONAL GUARANTEE

In order to induce Dorman Trading, L.L.C. ("Dorman") to enter into the Customer Agreement, to which this guarantee is attached, with DCAST CAPITAL INVESTMENTS, LLC referred to therein as Customer, and for other good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, the undersigned hereby, jointly and severally in the case of multiple guarantors, personally guarantee(s) the prompt, full and complete performance of any and all of the duties and obligations of Customer and the payment of any and all damages, costs and expenses which may become recoverable by Dorman from Customer.

This guarantee shall remain in full force and effect until the termination of the Customer Agreement; provided, however, that the undersigned shall not be released from his/their obligations hereunder so long as any claim of Dorman against Customer which claim arises out of or relates to, directly or indirectly, said Customer Agreement, is not settled or discharged in full.

The undersigned hereby expressly waives notice of acceptance hereof, and of non-performance, in any respect, by Customer of any of its duties or obligations, as aforesaid.

This guarantee shall inure to the benefit of Dorman, its successors and assigns, and shall be binding on the undersigned, his/their heirs and assigns.



Witness



, Individually

, as Guarantor

3/4/15
Date

Witness

_____, Individually
, as Guarantor

Date



LLC ACCOUNT APPLICATION

LLC PROPRIETARY LETTER

Dorman Trading, LLC
Suite 2070
141 W. Jackson Blvd
Chicago, IL 60604

Gentleman:

In connection with Dorman Trading LLC ("FCM") establishing futures account for DEAST CAPITAL INVESTMENTS (the "LLC"), the undersigned managing member DAMIAN CASTILLA as Managing Member of LLC hereby
(Print name)

Warrant and represent to the following:

1. All funds deposited in the trading account represent proprietary funds of the LLC and do not represent the interest of any other individuals or companies.
2. The LLC does not hold itself out of engaging in the business of investing capital contributions from other participants in the commodity futures markets.
3. The LLC is not required to be registered as a commodity pool with the CFTC.
4. The LLC is in compliance with such laws, rules, and regulations applicable to its business in each jurisdiction which is conducts such business or maintains investment accounts.
5. The LLC is not prohibited from trading in commodities, commodity futures contracts, commodity options contracts, foreign currencies, foreign currency options, and/or any items which are presently, or may in the future become the subject of futures or options contract trading (collectively, "Futures Contracts"). Accordingly, the Company is authorized to establish an account with Dorman Trading LLC to trade Futures Contracts.

The LLC agrees to immediately notify Dorman Trading LLC should any of the foregoing representations change or prove untrue.

The LLC shall indemnify and hold Dorman Trading LLC and its officers, directors, shareholders, employees and affiliates harmless from and against all claims, demands, proceedings, suits and actions and all losses (direct, indirect, or otherwise), liabilities, costs and expenses (including, without limitation, attorneys' fees and disbursements), paid in settlement, incurred or suffered by Dorman Trading LLC in connection with the representations made by the LLC herein. This indemnity shall survive the termination of the account(s) of the LLC with Dorman Trading LLC.

Very Truly Yours,

Company: DEAST CAPITAL INVESTMENTS, LLC

By: DAMIAN CASTILLA MGR
(Print name and Title)

Signed: 

Limited Liability Company Authorization

The undersigned hereby certify that we are DCAST CAPITAL INVESTMENTS MANAGER, a limited liability company formed under the laws of the State of FLORIDA (the "Company"), that each of us is of full legal age or is validly existing under the laws of the jurisdiction of our formation, and that the Company is authorized to trade in futures contracts, options on futures contracts, spot and forward contracts, and foreign exchange contracts.

The undersigned further certify that any one of us is authorized to open an account(s) with Dorman Trading L.L.C. ("Dorman") for the purchase or sale of commodity interests for and in the name of the Company, and to execute a Futures Customer Agreement in the name of and on behalf of the Company with Dorman in order to open such account(s), and that any one of the following members, acting alone, is authorized to act for the Company and its members in every respect concerning said account(s) and to do all things necessary or incidental to the conduct and trading of said account(s):

1. Name DAVID CASTILLO
 Title MANAGER
 Business Tel. ()
 Cell Tel. (305) 335 5492
 Address 11262 SW 73 TER
 MIAMI FL 33173
 Social Security Number [REDACTED] 6584
 Date of Birth [REDACTED] 73

2. Name _____
 Title _____
 Business Tel. ()
 Cell Tel. ()
 Address _____

 Social Security Number _____
 Date of Birth _____

In consideration of Dorman's maintaining the account(s) of the Company and agreeing to act as broker for the account(s) of the Company, the undersigned agree that:


- (1) If there is any change in this authorization or if any of the [members/managers] withdraws from the Company, is dissolved, files or has filed against a petition for the appointment of a receiver, bankruptcy trustee or similar official, die or are judicially declared incompetent, one of the undersigned will notify Dorman in writing immediately. Until Dorman has actually received such written notice, Dorman shall be entitled to act in reliance on this authorization. The Company will indemnify Dorman and hold it harmless from and against any loss suffered or liability incurred in continuing to act in reliance on this authorization prior to its actual receipt of such written notice.
- (2) Upon notice of the withdrawal, dissolution, insolvency, death or judicially declared incompetence of any of the [members/managers], Dorman is authorized in regard to the account(s) of the Company to take such actions as are described in the Futures Customer Agreement executed in the name of the Company for the purpose of terminating said account(s) and satisfying any obligation the Company may have to it. Dorman may take such actions as though each of the [members/managers] remained a [member/manager], was alive and was competent, without prior notice to any [member's/manager's] heirs, executors, administrators, legatees, personal representatives, or assigns.

- (3) This Authorization shall be considered a part of the Futures Customer Agreement with Dorman executed in the name of the Company and shall cover, individually and collectively, all accounts of the Company at any time opened or reopened with Dorman, and shall inure to the benefit of Dorman and its successors and assigns.

Any and all past transactions between the Company and Dorman of the kind provided for by this authorization are hereby ratified and approved.

Dated this 10/8/18 8 day of OCT, 2018

[MEMBER/MANAGER]:


Signature
DAMION CASTELLA
Name (Please Print)

[MEMBER/MANAGER]:

Signature

Name (Please Print)



LLC ACCOUNT APPLICATION

LLC PROPRIETARY LETTER

Dorman Trading, LLC
Suite 2070
141 W. Jackson Blvd
Chicago, IL 60604

Gentleman:

In connection with Dorman Trading LLC ("FCM") establishing futures account for DCAST CAPITAL INVESTMENTS (the "LLC"), the undersigned managing member DAMIAN CASTILLA as Managing Member of LLC hereby
(Print name)

Warrant and represent to the following:

1. All funds deposited in the trading account represent proprietary funds of the LLC and do not represent the interest of any other individuals or companies.
2. The LLC does not hold itself out of engaging in the business of investing capital contributions from other participants in the commodity futures markets.
3. The LLC is not required to be registered as a commodity pool with the CFTC.
4. The LLC is in compliance with such laws, rules, and regulations applicable to its business in each jurisdiction which is conducts such business or maintains investment accounts.
5. The LLC is not prohibited from trading in commodities, commodity futures contracts, commodity options contracts, foreign currencies, foreign currency options, and/or any items which are presently, or may in the future become the subject of futures or options contract trading (collectively, "Futures Contracts"). Accordingly, the Company is authorized to establish an account with Dorman Trading LLC to trade Futures Contracts.

The LLC agrees to immediately notify Dorman Trading LLC should any of the foregoing representations change or prove untrue.

The LLC shall indemnify and hold Dorman Trading LLC and its officers, directors, shareholders, employees and affiliates harmless from and against all claims, demands, proceedings, suits and actions and all losses (direct, indirect, or otherwise), liabilities, costs and expenses (including, without limitation, attorneys' fees and disbursements), paid in settlement, incurred or suffered by Dorman Trading LLC in connection with the representations made by the LLC herein. This indemnity shall survive the termination of the account(s) of the LLC with Dorman Trading LLC.

Very Truly Yours,

Company: DCAST CAPITAL INVESTMENTS

By: DAMIAN CASTILLA, MANAGER
(Print name and Title)

Signed: 



DORMAN TRADING, L.L.C.
141 W JACKSON BLVD. – CHICAGO, IL. 60604
SUITE 1900
312-341-7070

PERSONAL GUARANTEE

In order to induce Dorman Trading, L.L.C. ("Dorman") to enter into the Customer Agreement, to which this guarantee is attached, with DEAST CAPITAL INVESTMENTS
(Name of Entity)

referred to therein as Customer, and for other good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, the undersigned hereby, jointly and severally in the case of multiple guarantors, personally guarantee(s) the prompt, full and complete performance of any and all of the duties and obligations of Customer and the payment of any and all damages, costs and expenses which may become recoverable by Dorman from Customer.

This guarantee shall remain in full force and effect until the termination of the Customer Agreement; provided, however, that the undersigned shall not be released from his/their obligations hereunder so long as any claim of Dorman against Customer which claim arises out of or relates to, directly or indirectly, said Customer Agreement, is not settled or discharged in full.

The undersigned hereby expressly waives notice of acceptance hereof, and of non-performance, in any respect, by Customer of any of its duties or obligations, as aforesaid.

This guarantee shall inure to the benefit of Dorman, its successors and assigns, and shall be binding on the undersigned, his/their heirs and assigns.

Witness ELEONOR CHAMORRO, Individually
(Print Name)

Customer DAMIAN CASTILLO, as Guarantor
(Print Name)

[Signature]
(Witness Signature)

10/8/18
(Date)

[Signature]
(Customer Signature)

10/8/18
(Date)

(Witness Signature)

(Date)

(Customer Signature)

(Date)



BENEFICIAL OWNERS OF LEGAL ENTITIES

What is this form?

To help the government fight financial crime, Federal regulation requires certain financial institutions to obtain, verify, and record information about the beneficial owners of legal entity customers. Legal entities can be abused to disguise involvement in terrorist financing, money laundering, tax evasion, corruption, fraud, and other financial crimes. Requiring the disclosure of key individuals who own or control a legal entity (i.e., the beneficial owners) helps law enforcement investigate and prosecute these crimes.

Who has to complete this form?

This form must be completed by individuals associated with a legal entity with any of the following financial institutions: a bank or credit union; (ii) a broker or dealer in securities; (iii) a mutual fund; (iv) a futures commission merchant; or (v) an introducing broker in commodities.

For the purposes of this form, a legal entity includes a corporation, limited liability company, or other entity that is created by a filing of a public document with a Secretary of State or similar office, a general partnership, and any similar business entity formed in the United States or a foreign country. Legal entity does not include sole proprietorships, unincorporated associations, or natural persons opening accounts on their own behalf.

What information do I have to provide?

This form requires you to provide your name, address, date of birth and Social Security number (or passport number or other similar information, in the case of foreign persons) if you meet the following criteria for individuals (i.e., the beneficial owners):

- (i) You own, directly or indirectly, 25 percent or more of the equity interests of the legal entity customer (e.g., each natural person that owns 25 percent or more of the shares of a corporation); and
- (ii) You have significant responsibility for managing the legal entity customer (e.g., a Chief Executive Officer, Chief Financial Officer, Chief Operating Officer, Managing Member, General Partner, President, Vice President, or Treasurer).

The number of individuals that satisfy this definition of “beneficial owner” may vary. Under section (i), depending on the factual circumstances, up to four individuals (but as few as zero) may need to be identified. Regardless of the number of individuals identified under section (i), the legal entity applying for a new account must provide the identifying information of one individual under section (ii). It is possible that in some circumstances the same individual might be identified under both sections (e.g., the President of Acme, Inc. who also holds a 30 percent equity interest). Thus, a completed account application for the legal entity will contain this form with identifying information for at least one individual (under section (ii)), and up to five individuals (i.e., one individual under section (ii) and four 25 percent equity holders under section (i)).



Please complete this form as it relates to opening of a new account on behalf of a legal entity (Applying Entity). This form must be received from any individual who: 1) can answer "yes" to the first question below and/or 2) at least one person who can answer "yes" to the second question below. Dorman Trading must receive at least one completed form for each Applying Entity.

If another legal entity owns 25% or more of the Applying Entity, it is considered the "Owner Entity". The Owner Entity must submit at least one Beneficial Owners of Legal Entities form.

☒ Applying Entity ☐ Owner Entity

Applying Entity
<u>DLAST CAPITAL INVESTMENTS</u> Name of Legal Entity
<u>LLC</u> Legal Type for Entity (e.g. LLC, Corp, etc)
<u>11262 SW 73 TER, MIAMI FL 33173</u> Address of Entity

Owner Entity (if applicable)
 Name of Legal Entity

Both questions below must be answered

Yes ☒ No ☐
Do you directly or indirectly, through any contract, arrangement, understanding, relationship or otherwise, own 25 percent or more of the equity interests of the legal entity listed above?

Yes ☒ No ☐
Do you have significant responsibility for managing the legal entity listed above, such as:
 • An executive officer or senior manager (e.g., Chief Executive Officer, Chief Financial Officer, Chief Operating Officer, Managing Member, General Partner, President, Vice President, Treasurer); or
 • Are you an individual who regularly performs similar functions?

If you answered YES to either of the questions above, please provide the following information:

Name	<u>DAMIAN CASTILLO</u>
Date of Birth	<u>[REDACTED] 1973</u>
Address (Residential or Business)	<u>11262 SW 73 TER</u>
Identification:	
• US Person: Social Security Number	<u>[REDACTED] 6584</u>
• Non-US Person: Passport Number and Country of Issuance	

I, DAMIAN CASTILLO hereby certify, to the best of my knowledge, that the information provided above is complete and correct.

Signature: Date: 10/8/10



LOGOUT (../user/login.aspx?act=logout)

APPROVED

Application Type : LLC
Application Status: Complete

Date Created:
Date Submitted:10/8/2018 3:41:52 PM
Date Declined/Approved: No Decision
Submitted



Account Creation Application Documentation & Agreements Finish

Organization
Information

Personnel Information

Financial Legal
Information

Representa-
tions

Risk Disclosure
Statement

Risk Disclosure
Statement for Futures and
Options

Supplement to Risk
Disclosure Statement

Electronic Trading and
Order Routing Systems
Disclosure Statement

Uniform Notification
Regarding Access to
Market Data

Notice Regarding
Average Price System

Direct Foreign Order
Transmittal Disclosure
Statement

CME Disclosure
Statement for Payment
for Order Flow

Non-Cash Margin
Disclosure Statement

Special Notice to Foreign
Brokers and Foreign
Traders

Notice to Introduced
Customers

Privacy Policy

Conflicts of Interest

USA Patriot Act No ice
and Anti Money
Laundering Policy
Statement

Futures on
Cryptocurrencies
Including Bitcoin
Disclosure

Futures Customer
Agreement

Signed Disclosure Form

ORGANIZATION INFORMATION

Broker Name

John Texidor & Bill Borkowsk

Is this your broker?

☒ Yes ☐ No

Referred Broker Name

Company Name

DCAST Capital Investments

Tax ID

7524

(US accounts only)

Country

United States

Address 1:

11262 SW 73 Ter

Address 2:

City:

Miami

State/Province:

Florida

Zip/Postal Code:

33173

Phone Number:

3053355492

Fax

Email

damiancastilla73@gmail.com

Website

☒ Mailing address is the same

Country

Select Country

Address 1:

Address 2:

City:

Consent To Delivery of
Statements by Electronic
Media

Substitute W-9 Form
Request for Taxpayer
Identification Number and
Certification

Finished

State/Province:	Select State ▼
Zip/Postal Code:	
Email	

Date of Organization	12/09/2013 
	(Date format: mm/dd/yyyy)
State of Organization	Florida
	(US accounts only)
Nature of Business	Investing
Legal Entity Identifier (LEI)	

Registered Agent	Damian Castilla
Country	United States ▼
Address 1:	11262 SW 73 Ter
Address 2:	
City:	Miami
State/Province:	Florida ▼
Zip/Postal Code:	33173

PERSONNEL INFORMATION

MEMBER/MANAGER

Please provide your full legal name, as it appears on your government issued identification document

First Name	Damian
Last Name	Castilla
Title:	Manager
Social Security	<div>██████ 6584</div> 

☒ **My mailing address is the same as above?**


Country	United States ▼
Address 1:	11262 SW 73 Ter
Address 2:	
City:	Miami

State/Province:	Florida ▼
Zip/Postal Code:	33173
Email	damiancastilla73@gmail.com

Number of Members	1
-------------------	---


Member 1

Please provide your full legal name, as it appears on your government issued identification document

First Name	First Name
Last Name	Last Name
Social Security	____-__-____ 
Country	Select Country ▼
Address 1:	
Address 2:	
City:	
State/Province:	Select State ▼ _____
Zip/Postal Code:	
Email	

Member 2

Please provide your full legal name, as it appears on your government issued identification document

First Name	First Name
Last Name	Last Name
Social Security	____-__-____ 
Country	Select Country ▼
Address 1:	
Address 2:	
City:	
State/Province:	Select State ▼ _____

Zip/Postal Code:

Email

Member 3

Please provide your full legal name, as it appears on your government issued identification document

First Name

First Name

Last Name

Last Name

Social Security

__-__-__



Country

Select Country



Address 1:

Address 2:

City:

State/Province:

Select State



Zip/Postal Code:

Email

Member 4

Please provide your full legal name, as it appears on your government issued identification document

First Name

First Name

Last Name

Last Name

Social Security

__-__-__



Country

Select Country



Address 1:

Address 2:

City:

State/Province:

Select State




Zip/Postal Code:

Email

PERSON AUTHORIZED TO TRADE

Please provide your full legal name, as it appears on your government issued identification document

First Name	<input type="text" value="Damian"/>
Last Name	<input type="text" value="Castilla"/>
Social Security	<input type="text" value="[REDACTED] 6584"/> 
Country	<input type="text" value="United States"/>
Address 1:	<input type="text" value="11262 SW 73 Ter"/>
Address 2:	<input type="text"/>
City:	<input type="text" value="Miami"/>
State/Province:	<input type="text" value="Florida"/>
Zip/Postal Code:	<input type="text" value="33173"/>
Cell Phone Number:	<input type="text" value="3053355492"/>
Email	<input type="text" value="damiancastilla73@att.net"/>
Is the person authorized to trade, an officer of the company?	<input checked="" type="radio"/> Yes <input type="radio"/> No

FINANCIAL/LEGAL INFORMATION

Net Income (in US Dollars)	<input type="radio"/> \$25,000 or less <input type="radio"/> \$25,001 – 100,000 <input checked="" type="radio"/> \$100,001 – 500,000 <input type="radio"/> More than \$500,000
Actual Income if < \$25,000?	<input type="text"/>
Net Assets (in US Dollars)	<input type="radio"/> \$50,000 or less <input type="radio"/> \$50,001 – 250,000 <input checked="" type="radio"/> \$250,000 – 1,000,000 <input type="radio"/> More than \$1,000,000
Actual Net Assets if <\$50,000?	<input type="text"/>
Amount to be deposited to trading account	<input type="text" value="20000.00"/>

BANK INFORMATION

Bank Name	<input type="text" value="Chase Bank"/>
Name on Bank Account Number	<input type="text" value="DCAST Capital Investments"/> <small>(Name on bank account must match the name on the application)</small>
Account Number	<input type="text" value="[REDACTED] 3518"/>
Country	<input type="text" value="United States"/>

Address 1:

Address 2:

City:

State/Province:

Zip/Postal Code:

ACCOUNTS WITH OTHER BROKERS

Broker Name

Country

Address 1:

Address 2:

City:

State/Province:

Zip/Postal Code:

Account balance with other brokers

Will this account be funded by a transfer from another broker? ☐ Yes ☒ No

REPRESENTATIONS

DO THE MEMBERS AND MANAGERS:

Understand the risk of loss in trading futures? ☒ Yes ☐ No

Understand the use of leverage in trading futures? ☒ Yes ☐ No

Understand the possibility of losing more than your account balance? ☒ Yes ☐ No

Understand that you may be required to make additional deposits to maintain the margins required on your positions? ☒ Yes ☐ No

Have any pending or past disputes regarding futures trading? ☐ Yes ☒ No

If yes, please explain

Have any current or previous registrations with the NFA or FINRA?

☐ Yes ☒ No

If yes, please describe and include NFA ID #

Have any relatives employed at Dorman Trading or your Dorman Trading broker?

☐ Yes ☒ No

If yes, please describe

Is this a hedge account?

☐ Yes ☒ No

Is this a Commodity Pool?

☐ Yes ☒ No

Commodity pool type

☐ Registered ☐ Exempt

Does the Company have an offering circular or otherwise solicit participation in the Company?

☐ Yes ☒ No

Are there any other persons or entities with an interest in this account?

☐ Yes ☒ No

If yes, please explain

Will all of the deposits to the Company account come from accounts in the name of the Company?

☒ Yes
☐ No [Dorman will not accept any deposits from any entity other than the named account holder]

There is a risk of loss in trading futures and options. Futures trading is not appropriate for all investors. Please read our Risk Disclosure (<https://www.dormantrading.com/risk-disclosure/>) and Privacy Policy (<https://www.dormantrading.com/privacy-policy/>).



1 Applicant Type

2 Entity Information

3 Contact Information

4 Account Usage

5 Customer Agreement

6 Disclosure Documents

7 Tax & Bank Information

[Logout](#) damiancastilla73@gmail.com

Summary

Below is a summary of your application. Please review all information and uploaded documents to verify their accuracy. If you notice any errors please click on "Back" or the applicable navigation box above to return to a page.

Account Introduced By	NinjaTrader Brokerage
Account Type	Corporate, Partnership or LLC
Entity Name	Five Traders LLC
Entity Type	Limited Liability Company (LLC)
Principal Business or Industry	Investment
Company Address	1712 Pioneer Ave Suite 500 Cheyenne, WY 82001 United States
Location	Principal Place of Business
Mailing Address	11262 SW 73RD TER MIAMI, FL 33173 United States
Telephone	3053355492
Fax	
State / Province of Formation	Florida
Date of Formation	04/26/2019
Federal Tax ID Number	4008
Private or Public	Private

Investment Experience

Futures	12 years
Securities	12 years
Options	8 years

Financial Information

Annual Income	\$287,000
Net Worth	\$874,000

Ownership Information

Ultimate Parent	Damian Castilla
Percent Ownership	Damian Castilla - 100%

Account Introduced By NinjaTrader Brokerage
Account Type Corporate, Partnership or LLC

Contact # 1

Name Damian Castilla
Residence 11262 SW 73RD TER
Miami, Florida 33173 United States
Primary Email Address
Telephone (Primary) 3053355492
Date of Birth [REDACTED] 1973
Gender Male
Marital Status Married
Number of Dependents 3
Social Security or Tax ID# [REDACTED] 6584
Applicant's Nationality
US Driver's License Florida - # [REDACTED]
File Upload(s) [Driver License.pdf](#) 0.1Mb

Account Usage

Is the account to be used for hedging or speculation purposes?

Speculative

Will anyone other than the applicant be trading the account?

No

Is the account being transferred from another broker?

No

Does any other person or entity have financial interest of 10% or greater in this account?

No

Does the account controller(s) (if an entity, its officers, directors, or principal shareholders) have an existing trading account at Phillip Capital?

No

Is the applicant or any of its officers, directors, or principal shareholders registered, or pending registration, with the National Futures Association (NFA) or Financial Industry Regulatory Authority (FINRA)?

No

Is the applicant, or any of its officers, directors, or principal shareholders, a "politically exposed person" (PEP)? A PEP is a term describing someone who has been entrusted with a prominent public function, or a relative or known associate of that person.

No

Has the applicant entity or any of its officers, directors, or principal shareholders ever been involved in a litigation or arbitration with a Broker-Dealer, Futures Commission Merchant, or Introducing Broker?

No

Has the applicant entity or any of its officers, directors, or principal shareholders ever been the subject of an investigation or proceeding by any futures or securities regulatory or self-regulatory body?

No

Do federal or state laws or regulations or corporate policy restrict the type of trading or future contracts that may be traded by the entity?

No

Does the entity or any of its officers, directors, or principal shareholders have a financial interest of 10% or more, or control the trading, in any other trading account at Phillip Capital?

No

Are any of the entity's officers, directors, or principal shareholders (or their relatives) associated with or employed by Phillip Capital or any of its affiliates?

No

Is the entity a commodity pool, a fund, or any other type of intermediary ("intermediary") that accepts funds from investors or clients?

No

Customer Agreement

☒ Customer Agreement

Signed	Damian Castilla	07/23/2020
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Disclosure Documents

-
- ☒ FIA Combined Disclosure Statement
 - ☒ Cross Trade Consent
 - ☒ Electronic Trading and Order Routing Systems Disclosure Statement
 - ☒ Disclosure of Futures Commission Merchant Material Conflicts of Interest
 - ☒ Direct Order Transmittal Client Disclosure Statement
 - ☒ Foreign Trader Disclosure Statement
 - ☒ Notice To Customers Exchange for Related Positions
 - ☒ CFTC Customer Advisory Understand the Risks of Virtual Currency Trading
 - ☒ NFA Investor Advisory - Futures on Virtual Currencies Including Bitcoin
 - ☒ NFA Disclosure Language For Underlying or Spot Virtual Currencies
 - ☒ Disclosure on Payment for Order Flow
 - ☒ Uniform Notification Regarding Access to Market Data
 - ☒ Electronic Trading System Agreement
 - ☒ Notice Concerning Your Privacy & Online Services
 - ☐ Arbitration Agreement
 - ☒ Risk Disclosure Statement for Security Futures Contracts

☒ Disclosure Documents

☒ Position Limit and Large Open Position Reporting Requirements for Options and Futures Traded on the Hong Kong Exchanges

☒ Disclosures Required to be Provided to Disclosed Singapore Market Participants

☐ Electronic Statement Risk Disclosure (Optional)

Signed	Limited Liability Company Managing Member	Damian Castilla	07/23/2020
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Exhibit A to Schedule 4 Non Professional Self-Certification Form

Signed	Damian Castilla	07/23/2020
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Tax Information

Is the applicant a U.S. customer or is the applicant a non-U.S. customer that is subject to U.S. taxes?
Yes

Form	Form W-9
Federal Employer ID Number	██████████4008
Legal Name	Damian Castilla
Signed	Damian Castilla
Date	07/23/2020

BACK

SUBMIT APPLICATION

Address 141 W Jackson Blvd , CBOT Building, Suite 1531A, Chicago IL 60604 Phone 312 356 9000 Fax 312 356 9005

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EXHIBIT E

CASE INFORMATION

Court Case No.: F20004700	State Case No.: 132020CF0047000001XX	
Name: CASTILLA, DAMIAN	Date of Birth: [REDACTED] 1973	
Date Filed: 03/20/2020	Date Closed:	Warrant Type:
Assessment Amount: \$0.00	Balance Due: \$0.00	Stay Due Date:
Previous Case:	Next Case:	
Judge: FERNANDEZ-KARAVETSOS, MARLENE	Defense Attorney: VIERA, JORGE	
Bfile Section: F002	File Location: FILE ROOM	Box Number:

HEARING

Hearing Date: 05/06/2021 **Hearing Time:** 09:05 **Hearing Type:** R
Court Room: REGJB - JUSTICE BUILDING, ROOM No.: 6-3
Address: 1351 N.W. 12 ST

CHARGES

Seq No.	Charge	Charge Type	Disposition
1	GRAND THEFT 1ST DEG	FELONY	
2	ORGANIZED FRAUD/50K+	FELONY	

DOCKETS

Seq. No.	Date	Book/Page Docket
52	02/18/2021	TRIAL HEARING SCHEDULED FOR 05/17/2021 AT 09:00 TRIAL HEARING RESET
51	02/18/2021	MOTION FOR CONTINUANCE FILED 02/18/2021 ORAL SET FOR 02/18/2021 AT 11:10 GRANTED STIP
50	02/18/2021	REPORT RE: FELONY SOUNDING SET FOR 05/06/2021 AT 09:05
48	02/03/2021	TRIAL UNIT ASSIGNED: ECONOMIC CRIMES
47	02/03/2021	TRIAL PROS. ASSIGNED: GASS, JARED
46	02/01/2021	E-SUBPOENA: MILLER, RENEE ID: 030-08057 FOR: TRIAL ON 03/01/2021 AT 09:00 ISSUED BY: CJIS SENT: 02/01/2021 RECD/NOTFD: 02/01/2021 ACKN: 02/01/2021 S SENT: RECD/NOTFD: 02/01/2021 ACKN: 02/01/2021 S
45	02/01/2021	E-SUBPOENA: BARAZAL JR, ADRIAN ID: 030-04555 FOR: TRIAL ON 03/01/2021 AT 09:00 ISSUED BY: CJIS SENT: 02/01/2021 RECD/NOTFD: 02/01/2021 ACKN: 02/01/2021 S SENT: RECD/NOTFD: 02/01/2021 ACKN: 02/01/2021 S
43	12/16/2020	TRIAL PROS. ASSIGNED: SAINT-JEAN, EMMANUELA
42	12/03/2020	TRIAL HEARING SCHEDULED FOR 03/01/2021 AT 09:00 TRIAL HEARING RESET
41	12/03/2020	MOTION FOR CONTINUANCE FILED 12/03/2020 ORAL SET FOR 12/03/2020 AT 11:18 GRANTED STIP
40	12/03/2020	REPORT RE: FELONY SOUNDING SET FOR 02/18/2021 AT 09:05
38	11/25/2020	REPORT RE: FELONY SOUNDING SET FOR 12/03/2020 AT 09:05
36	11/16/2020	E-SUBPOENA: MILLER, RENEE ID: 030-08057 FOR: TRIAL ON 12/14/2020 AT 09:00 ISSUED BY: CJIS SENT: 11/16/2020 RECD/NOTFD: 11/16/2020 ACKN: 11/16/2020 S SENT: RECD/NOTFD: 11/16/2020 ACKN: 11/16/2020 S
35	11/16/2020	E-SUBPOENA: BARAZAL JR, ADRIAN ID: 030-04555 FOR: TRIAL ON 12/14/2020 AT 09:00 ISSUED BY: CJIS SENT: 11/16/2020 RECD/NOTFD: 11/16/2020 ACKN: 11/16/2020 S SENT: RECD/NOTFD: 11/16/2020 ACKN: 11/16/2020 S
33	10/13/2020	TRIAL HEARING SCHEDULED FOR 12/14/2020 AT 09:00
32	10/13/2020	REPORT RE: FELONY SOUNDING SET FOR 11/25/2020 AT 09:00
30	08/14/2020	REPORT RE: PLEA SET FOR 10/13/2020 AT 09:00
28	07/13/2020	TRIAL PROS. ASSIGNED: MAJOR, KEVIN MICHAEL A
27	07/06/2020	TRIAL PROS. ASSIGNED: HUGHES, CASEY
26	06/08/2020	DISCOVERY
25	06/08/2020	AMENDED DISCOVERY EXHIBIT
21	05/22/2020	REPORT RE: TRIAL DATE SET FOR 08/14/2020 AT 09:00
24	05/07/2020	TRIAL UNIT ASSIGNED: FELONY DIVISION 02
23	05/07/2020	TRIAL PROS. ASSIGNED: ROCHER COLON, ILEANEXIS
20	05/06/2020	INFORMATION FILED
18	04/27/2020	ARRAIGNMENT HEARING SCHEDULED FOR 05/07/2020 AT 09:00
16	04/17/2020	ARRAIGNMENT HEARING SCHEDULED FOR 04/27/2020 AT 09:00
15	04/07/2020	INTAKE PROS. ASSIGNED: CHIMERA, JAMES
12	03/26/2020	DEMAND FOR DISCOVERY
11	03/26/2020	DEMAND FOR TRIAL BY JURY
10	03/26/2020	WRITTEN PLEA OF NOT GUILTY
9	03/26/2020	NOTICE OF APPEARANCE JORGE I VIERA P A

Seq. No.	Date	Book/Page	Doclet
14	03/20/2020		BOND RECEIVED AS15551212
7	03/20/2020		BOND RECEIVED AS15551213
5	03/19/2020		INTAKE UNIT ASSIGNED: SPEC. PROS. INTAKE
4	03/19/2020		INTAKE UNIT ASSIGNED: FSU - CASE SCREENING
3	03/19/2020		ARRAIGNMENT HEARING SCHEDULED FOR 04/17/2020 AT 09:00
1	03/19/2020		AUS AMT/ 10000 ISSUED 03/19/2020 POWER/AS15551212
6	03/18/2020		AUS AMT/ 10000 ISSUED 03/18/2020 POWER/AS15551213

EXHIBIT F

ACCOUNT NUMBER: [REDACTED] 3071

STATEMENT DATE: NOV 02, 2020

DORMAN TRADING L.L.C.
 141 W. JACKSON BLVD. SUITE 1900
 CHICAGO, IL 60604
 SUPPORT@DORMANTRADING.COM
 TEL:800-552-7007 FAX:312-341-7898

INTRODUCED BY
 NINJATRADER BROKERAGE

DCAST CAPITAL INVESTMENTS LLC
 11262 SW 73 TERRACE E/S
 MIAMI FL 33173

DAILY STATEMENT

***** CONFIRMATION *****

THE FOLLOWING TRADES HAVE BEEN MADE THIS DAY FOR YOUR ACCOUNT AND RISK.

TRADE	SETTL	AT	BUY	SELL	CONTRACT DESCRIPTION	EX	PRICE	CC	DEBIT/CREDIT
11/03/0	M270	F1	30		DEC 20 CBOT MINI DOW	01	266.5100	US	
					APS TRADE				
11/03/0	M270	F1		30	DEC 20 CBOT MINI DOW	01	266.7100	US	
					APS TRADE				
		F1	30*	30*				US	31.80DR
		F1			AVG LONG:	266.510		US	3.60DR
		F1			AVG SHORT:	266.710		US	44.00DR
		F1						US	.60DR

***** PURCHASE & SALE *****

TRADE	SETTL	AT	LONG	SHORT	CONTRACT DESCRIPTION	EX	PRICE	CC	DEBIT/CREDIT
11/03/0	M270	F1	30		DEC 20 CBOT MINI DOW	01	266.5100	US	
					APS				
11/03/0	M270	F1		30	DEC 20 CBOT MINI DOW	01	266.7100	US	
					APS				
		F1	30*	30*				US	3,000.00
		F1						US	3,000.00

THE FOLLOWING TRADE RELATED ADJUSTMENTS HAVE BEEN MADE FOR YOUR ACCOUNT.

AT	ADJUSTMENT DESCRIPTION	EX LEGEND	CC	DEBIT/CREDIT
F1	RESIDUAL ON 0020- DEC 20 CBOT M 01		US	
F1	GROSS PROFIT OR LOSS		US	
F1	NET AMOUNT		US	
F1	RESIDUAL ON 0020- DEC 20 CBOT M 01		US	
F1	GROSS PROFIT OR LOSS		US	
F1	NET AMOUNT		US	

** US DOLLARS **

BEGINNING BALANCE	57,891.50
COMMISSION	31.80DR
CLEARING FEES	3.60DR
EXCHANGE FEES	44.00DR
NFA FEES	.60DR
TOTAL FEES	48.20DR
GROSS PROFIT OR LOSS	3,000.00
NET PROFIT/LOSS FROM TRADES	2,920.00
ENDING BALANCE	60,811.50
TOTAL EQUITY	60,811.50
ACCOUNT VALUE AT MARKET	60,811.50
EXCESS EQUITY	60,811.50

EXHIBIT G



DORMAN TRADING L.L.C.
141 W. JACKSON BLVD. SUITE 1900
CHICAGO, IL 60604
SUPPORT@DORMANTRADING.COM
TEL:800-552-7007 FAX:312-341-7898

ACCOUNT NUMBER: [REDACTED] 6445
STATEMENT DATE: JUL 21, 2020

INTRODUCED BY
BORKOWSKI/TEXIDOR

FIVE TRADERS LLC
11262 SW 73 TER
MIAMI, FL 33173

CDD

DAILY STATEMENT

CONFIRMATION																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																											
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Please report any differences immediately to
Dorman Trading, L.L.C. Customer Service Department at (312) 341-7070.
If not resolved, please contact
Dorman Trading, L.L.C. Compliance Department at (312) 341-7892.
The failure to immediately exercise your right to have discrepancies
corrected before the beginning of the next market session will be
deemed your agreement that this statement is correct and ratified.
141 West Jackson Boulevard, Suite 1900 Chicago, IL 60604
(312) 341-7070 FAX: (312) 341-7898
RETAIN FOR TAX RECORDS SUBJECT TO TERMS AND CONDITIONS ON REVERSE SIDE

EXHIBIT H

[00989.pdf](#)

[00987.pdf](#)

2 Fraudulent Dorman Statements

----- Forwarded message -----

From: [REDACTED]@gmail.com>
Date: Mon, Jan 4, 2021 at 11:43 AM
Subject: Fwd: Statement
To: <rs@dormantrading.com>

----- Forwarded message -----

From: [REDACTED]@gmail.com>
Date: Mon, Jan 4, 2021 at 12:40 PM
Subject: Fwd: Statement
To: <rs@doormantrading.com>

----- Forwarded message -----

From: **Damian Castilla** <damiancastilla73@gmail.com>
Date: Tue, Dec 8, 2020 at 11:45 AM
Subject: Statement
To: [REDACTED]@gmail.com>

Hello and happy holidays. Here is your statement.

--

Best Regards,

Damian Castilla

--

Robert W. Sheeren

Chief Financial Officer

[312-341-7892](tel:312-341-7892) Office

[312-341-7898](tel:312-341-7898) Fax

rs@dormantrading.com



ACCOUNT NUMBER: [REDACTED] 3071

STATEMENT DATE DEC 7, 2020

DORMAN TRADING L.L.C.
141 W. JACKSON BLVD. SUITE 1900
CHICAGO, IL 60604
SUPPORT@DORMANTRADING.COM
TEL:800-552-7007 FAX:312-341-7898

INTRODUCED BY
BORKOWSKI/TEXIDOR

DCAST CAPITAL INVESTMENTS LLC

11262 SW 73 TER
MIAMI, FL 33173

CDD

DAILY STATEMENT

* * * * * C O N F I R M A T I O N * * * * *
THE FOLLOWING JOURNAL ENTRIES HAVE BEEN POSTED TO YOUR ACCOUNT.
TRADE SETTLE AT LONG SHORT JOURNAL DESCRIPTION EX TRADE PRICE CC DEBIT/CREDIT

** US DOLLARS **
BEGINNING BALANCE 69,918.50
CASH AMOUNTS 0.00
ENDING BALANCE 69,918.50
TOTAL EQUITY 69,918.50
ACCOUNT VALUE AT MARKET 69,918.50
EXCESS EQUITY 69,918.50

Please report any differences immediately to
Dorman Trading, L.L.C. Customer Service Department at (312) 341-7070.
If not resolved, please contact
Dorman Trading, L.L.C. Compliance Department at (312) 341-7892.
The failure to immediately exercise your right to have discrepancies
corrected before the beginning of the next market session will be
deemed your agreement that this statement is correct and ratified.
141 West Jackson Boulevard, Suite 1900 Chicago, IL 60604
(312) 341-7070 FAX: (312) 341-7898
RETAIN FOR TAX RECORDS SUBJECT TO TERMS AND CONDITIONS ON REVERSE SIDE



ACCOUNT NUMBER: [REDACTED] 3071

STATEMENT DATE DEC 7, 2020

DORMAN TRADING L.L.C.
141 W. JACKSON BLVD. SUITE 1900
CHICAGO, IL 60604
SUPPORT@DORMANTRADING.COM
TEL:800-552-7007 FAX:312-341-7898

INTRODUCED BY
BORKOWSKI/TEXIDOR

DCAST CAPITAL INVESTMENTS LLC

11262 SW 73 TER
MIAMI, FL 33173

CDD

DAILY STATEMENT

* * * * * C O N F I R M A T I O N * * * * *
THE FOLLOWING JOURNAL ENTRIES HAVE BEEN POSTED TO YOUR ACCOUNT.
TRADE SETTLE AT LONG SHORT JOURNAL DESCRIPTION EX TRADE PRICE CC DEBIT/CREDIT

** US DOLLARS **
BEGINNING BALANCE 70,079.60
CASH AMOUNTS 0.00
ENDING BALANCE 70,079.60
TOTAL EQUITY 70,079.60
ACCOUNT VALUE AT MARKET 70,079.60
EXCESS EQUITY 70,079.60

Please report any differences immediately to
Dorman Trading, L.L.C. Customer Service Department at (312) 341-7070.
If not resolved, please contact
Dorman Trading, L.L.C. Compliance Department at (312) 341-7892.
The failure to immediately exercise your right to have discrepancies
corrected before the beginning of the next market session will be
deemed your agreement that this statement is correct and ratified.
141 West Jackson Boulevard, Suite 1900 Chicago, IL 60604
(312) 341-7070 FAX: (312) 341-7898
RETAIN FOR TAX RECORDS SUBJECT TO TERMS AND CONDITIONS ON REVERSE SIDE

EXHIBIT I



DORMAN TRADING L.L.C.
141 W. JACKSON BLVD. SUITE 1900
CHICAGO, IL 60604
SUPPORT@DORMANTRADING.COM

ACCOUNT NUMBER: [REDACTED] 3071

STATEMENT DATE: DEC 31, 2020

INTRODUCED BY
NINJATRADER BROKERAGE

DCAST CAPITAL INVESTMENTS LLC
11262 SW 73 TERRACE E/S
MIAMI FL 33173

CDD

MONTHLY STATEMENT

	***US DOLLAR REG **	
BEGINNING BALANCE		719.67
THIS MONTH'S ACTIVITY		.00
ENDING BALANCE		719.67
ACCOUNT VALUE AT MARKET		719.67
CONVERTED MARKET VALUE		719.67
TRADE DATE BALANCE		719.67

EXHIBIT J



ACCOUNT NUMBER: ■■■■■ 3071

STATEMENT DATE: AUG 7, 2020

DORMAN TRADING L.L.C.
141 W. JACKSON BLVD. SUITE 1900
CHICAGO, IL 60604
SUPPORT@DORMANTRADING.COM
TEL:800-552-7007 FAX:312-341-7898

INTRODUCED BY
BORKOWSKI/TEXIDOR

DCAST CAPITAL INVESTMENTS LLC

11262 SW 73 TER
MIAMI, FL 33173

CDD

DAILY STATEMENT

* * * * * C O N F I R M A T I O N * * * * *
THE FOLLOWING JOURNAL ENTRIES HAVE BEEN POSTED TO YOUR ACCOUNT.
TRADE SETTLE AT LONG SHORT JOURNAL DESCRIPTION EX TRADE PRICE CC DEBIT/CREDIT

** US DOLLARS **
BEGINNING BALANCE 252,711.40
CASH AMOUNTS 0.00
ENDING BALANCE 252,711.40
TOTAL EQUITY 252,711.40
ACCOUNT VALUE AT MARKET 252,711.40
EXCESS EQUITY 252,711.40

Please report any differences immediately to
Dorman Trading, L.L.C. Customer Service Department at (312) 341-7070.
If not resolved, please contact
Dorman Trading, L.L.C. Compliance Department at (312) 341-7892.
The failure to immediately exercise your right to have discrepancies
corrected before the beginning of the next market session will be
deemed your agreement that this statement is correct and ratified.
141 West Jackson Boulevard, Suite 1900 Chicago, IL 60604
(312) 341-7070 FAX: (312) 341-7898
RETAIN FOR TAX RECORDS SUBJECT TO TERMS AND CONDITIONS ON REVERSE SIDE

EXHIBIT K



DORMAN TRADING L.L.C.
141 W. JACKSON BLVD. SUITE 1900
CHICAGO, IL 60604
SUPPORT@DORMANTRADING.COM
TEL:800-552-7007 FAX:312-341-7898

ACCOUNT NUMBER: [REDACTED] 3071

STATEMENT DATE: MAR 15, 2021

INTRODUCED BY
BORKOWSKI/TEXIDOR

DCAST CAPITAL INVESTMENTS LLC

11262 SW 73 TER
MIAMI, FL 33173

CDD

DAILY STATEMENT

* * * * * C O N F I R M A T I O N * * * * *
THE FOLLOWING JOURNAL ENTRIES HAVE BEEN POSTED TO YOUR ACCOUNT.
TRADE SETTLE AT LONG SHORT JOURNAL DESCRIPTION EX TRADE PRICE CC DEBIT/CREDIT

** US DOLLARS **
BEGINNING BALANCE 882,093.80
CASH AMOUNTS 0.00
ENDING BALANCE 882,093.80
TOTAL EQUITY 882,093.80
ACCOUNT VALUE AT MARKET 882,093.80
EXCESS EQUITY 882,093.80

Please report any differences immediately to
Dorman Trading, L.L.C. Customer Service Department at (312) 341-7070.
If not resolved, please contact
Dorman Trading, L.L.C. Compliance Department at (312) 341-7892.
The failure to immediately exercise your right to have discrepancies
corrected before the beginning of the next market session will be
deemed your agreement that this statement is correct and ratified.
141 West Jackson Boulevard, Suite 1900 Chicago, IL 60604
(312) 341-7070 FAX: (312) 341-7898
RETAIN FOR TAX RECORDS SUBJECT TO TERMS AND CONDITIONS ON REVERSE SIDE

EXHIBIT L

From: [Sloey, Nicholas](#)
To: [REDACTED]@gmail.com"
Bcc: [Simek, Thomas](#); [Robinson, Elsie](#)
Subject: In re Certain Persons Engaged in Fraud with Respect to Pooled Investments and/or Managed Accounts
Date: Monday, June 21, 2021 3:44:00 PM
Attachments: [June 21 2021 Cover and Subpoena Castilla et al.pdf](#)
[CFTC Data Delivery Standards.pdf](#)
[Required Notice - Statement to Persons Providing Information - Investigation with Testimony.pdf](#)
[image001.png](#)
[image002.png](#)
[image003.png](#)
[image004.png](#)
[image005.png](#)

Mr. Castilla,
Please find a subpoena issued to you, DCAST Capital Investments LLC, and Five Traders LLC in connection with an ongoing investigation of the U.S. Commodity Futures Trading Commission.

The CFTC's Statement to Persons Providing Information is also attached and contains information concerning your rights and responsibilities in providing information to the Commission.

Sincerely,
Nicholas Sloey



Nicholas Sloey
Senior Trial Attorney
Division of Enforcement
Commodity Futures Trading Commission
816-960-7728
nsloey@cftc.gov





Division of
Enforcement

U.S. COMMODITY FUTURES TRADING COMMISSION

2600 Grand Boulevard, Suite 210, Kansas City, MO 64108

Telephone: (816) 960-7700

Facsimile: (816) 960-7751

www.cftc.gov

NICHOLAS SLOEY
TRIAL ATTORNEY
(816) 960-7728
nsloey@cftc.gov

June 21, 2021

Via Email

Damian Castilla

[REDACTED]
[REDACTED]
[REDACTED]@gmail.com

RE: **Certain Persons Engaged in Fraud with Respect to Pooled Investments and/or Managed Accounts**

Dear Mr. Castilla:

Enclosed is a subpoena issued by the Division of Enforcement (Division) of the U.S. Commodity Futures Trading Commission (CFTC) in connection with an ongoing investigation. The subpoena requires you to produce documents as set forth in Schedule A to the subpoena by July 9, 2021.

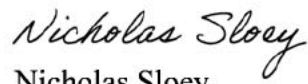
In addition, the Commission hereby requests that you, DCAST Capital Investments LLC, Five Traders LLC, and any other entity you own or control (in whole or in part), their parent(s), subsidiaries, affiliates, agents, employees, representatives, or any person or entity acting on behalf of you, DCAST Capital, Five Traders, retain, preserve, and safeguard against destruction all documents (including, but not limited to, all communications, instant messages, audio recordings, and social media records) specified in Schedule A.

The Division further requires that the responsive documents be produced in electronic format. Enclosed for your reference is a document entitled *CFTC Data Delivery Standards*, which details how to produce electronic data to the CFTC. You must produce documents in accordance with the enclosed standards. If you have any questions, please contact me.

If you have any questions regarding this subpoena, please do not hesitate to contact me at (816) 960-7728.

I thank you in advance for your prompt attention to this matter.

Sincerely,

A handwritten signature in cursive script that reads "Nicholas Sloey".

Nicholas Sloey
Trial Attorney
Division of Enforcement

Enclosure: Subpoena Duces Tecum
CFTC Data Delivery Standards



**U.S. COMMODITY FUTURES TRADING
COMMISSION**

2600 Grand Boulevard, Suite 210
Kansas City, MO 64108
Telephone: (816) 960-7700
Facsimile: (816) 960-7750
www.cftc.gov

Division
Of
Enforcement

June 21, 2021

SUBPOENA DUCES TECUM

TO: **Damian Castilla**

[REDACTED]
[REDACTED]
[REDACTED]
[@gmail.com](#)

YOU ARE HEREBY COMMANDED to produce all books, papers, documents and other tangible things specified in the attached Schedule A by July 9, 2021 in connection with the investigation conducted by the CFTC in the matter of:

**Certain Persons Engaged in Fraud with Respect
to Pooled Investments and/or Managed Accounts**

**FAILURE TO COMPLY WITH THIS SUBPOENA MAY
RESULT IN THE COMMENCEMENT OF A LEGAL ACTION
IN THE UNITED STATES DISTRICT COURT TO COMPEL
COMPLIANCE WITH THE REQUIREMENTS HEREOF**

Issued June 21, 2021, in Kansas City, MO by:

Nicholas Sloey

Nicholas S. Sloey

NOTICES TO WITNESS:

***Fees and mileage:** Fees and mileage need not be tendered to the witness upon service of a subpoena issued in behalf of an officer or employee of the Commission. 28 U.S.C. § 1825.*

***False, Misleading or Fraudulent Statements:** Making a false, misleading or fraudulent statement in testimony or documents produced in response to this subpoena may be a civil and/or criminal violation that can result in punishment by fine or imprisonment or*

both. Specifically, a false, misleading, or fraudulent statement of material fact or omission of material fact that is necessary to make a statement not misleading, may constitute a violation of Section 6(c)(2) of the Commodity Exchange Act (7 U.S.C. § 9(2)), Section 9(a)(3) of the Commodity Exchange Act (7 U.S.C. §13(a)(3)), and/or Section 1001 of Title 18, Crimes and Criminal Procedure (18 U.S.C. §1001).

RETURN OF SERVICE

In the Case of a Natural Person:

- ☐ handing it to the person named herein.
- ☐ leaving it at the person's office with the following person in charge:
- ☐ leaving it at the person's office in the following conspicuous place:
- ☐ leaving it at the person's usual place of abode, street address:
- ☐ mailing by certified or registered mail to the following address:
- ☐ mailing by overnight delivery to the following address:

- ☒ the following method by which actual notice was given:
Damian Castilla


@gmail.com

In the case of service upon other than a natural person:

- ☐ handing it to the following registered agent for service or other officer, director or agent in charge of such office (name & title):

- ☐ certified or registered mail to the entity's following agent or representative:

- ☐ mailing by overnight delivery to the following address:

- ☒ the following method by which actual notice was given:
Damian Castilla


@gmail.com

I declare under penalty of perjury under the laws of the United States of America that the foregoing is true and correct and that I served this subpoena in accordance with the method noted above.

Dated: June 21, 2021


Nicholas S. Sloey

SCHEDULE A

DEFINITIONS AND INSTRUCTIONS

The following definitions and instructions are expressly incorporated into each specific demand for production as if fully stated therein:

- A. The term “You” or “Your” means Damian Castilla.
- B. The term “DCAST Capital” or “Five Traders” means any and all of their affiliates, subsidiaries, directors, divisions, groups, offices, branches, departments, employees, consultants, agents representatives, predecessors or successors, wherever they may be situated, and all other person who have an interest in DCAST Capital or Five Traders their subsidiaries, affiliates, divisions, joint ventures, or any other legal entity in which DCAST or Five Traders have an interest, and all other persons acting in concert or participation with them.
- C. The terms “CFTC” and “Commission” refers to the U.S. Commodity Futures Trading Commission.
- D. The term “communication” refers to all manners of transmitting or receiving information, opinions, or thoughts, orally, in writing, in person, telephonically, or otherwise.
- E. The term “concerning” means referring to, describing, evidencing, or constituting.
- F. The term “document” is synonymous in meaning and equal in scope to the usage of this term in Federal Rule of Civil Procedure 34(a). Accordingly, a document, for purposes of this subpoena, is any writing, drawing, graph, chart, photograph, phonographic record, audiotape, videotape, computer disk, or any other data compilation from which information can be obtained or translated, if necessary, through detection devices into reasonably usable form. The terms “document” or “documents” mean all writings or printed matter of any kind, including the originals and all copies, identical or non-identical, whether different from the originals by reason of any notation made on such copies or otherwise, including, without limitation: records, correspondence, memoranda, notes, diaries, statistics, letters, telegrams, minutes, contracts, reports, studies, checks, statements, receipts, returns, summaries, pamphlets, books, prospectuses, inter-office or intra-office communications, telephone message slips, offers, notations of conversations, bulletins, drawings, plans, computer printouts, computer input or output, teletypes, telefaxes, invoices, worksheets, ledger books, books of account, and all drafts, alterations, modifications, changes and amendments of any of the foregoing. The terms “document” or “documents” also includes all graphic or aural records or representations of any kind, including without limitation, photographs, charts, graphs, microfilm, videotape, recordings, motion pictures, and electronic, mechanical, or electrical records, or recordings of any kind,

including, without limitation, tapes, cassettes, discs, and recordings. A draft or non-identical copy is a separate document within the meaning of this term.

- G. The term “person” is defined as any natural person or any business, legal, or governmental entity or association.
- H. The term “possession” denotes actual or constructive possession. For example, a document is in your possession if it is within your custody or control, if you have a legal or equitable right to obtain such document from another person, or if it is in your possession, or in the possession of any present or former officer, director, employee, partner, corporate parent, subsidiary, or affiliate thereof.
- I. The terms “and” and “or” are used interchangeably herein, operating both as conjunctive and disjunctive conjunctions. The singular and plural forms of nouns and pronouns are likewise used interchangeably herein.
- J. “Refer” means to discuss, report on, review, consider, evaluate, or explain by direct mention of the subject matter of the request.
- K. “Relate” means to comprise, explicitly or implicitly, refer to, be reviewed in conjunction with, or be generated as a result of the subject matter of the request, or to reflect, record, memorialize, discuss, evaluate, consider, review or report on the subject matter of the request.
- L. The obligations created by this subpoena are continuing, and you shall supplement its production if you locate additional responsive documents in your possession. You shall produce the specified materials to the Commission as they are kept in the usual course of business or shall organize and label them to correspond with the categories in this subpoena.
- M. Unless otherwise specified, the scope of this subpoena includes all documents concerning the period from January 1, 2012 to present.
- N. If any documents responsive to any of the paragraphs of this Attachment will not be produced for any reason, please set forth the following information concerning each document:
 - (a) the type of document;
 - (b) the date of the document;
 - (c) the person who prepared or wrote the document;
 - (d) a description of the document's subject matter and physical size;

(e) all addresses of recipient(s) of the original or copy thereof, together with the date or approximate date that said recipient received said document;

(f) all other persons to whom the contents of the document have been disclosed, the date of such disclosure, and the means of such disclosure; and

(g) the nature of the privilege or the rule of law relied upon, or other reason for non-production.

O. All documents call for by this subpoena are to be produced in unredacted form. If you make any redactions, such redactions must be clearly marked and the reasons for such redactions must be given in accordance with paragraph "N" above.

P. Please produce all documents in electronic format in accordance with the CFTC Division of Enforcement's Data Delivery Standards, enclosed herein. All documents should be organized and labeled to correspond with the categories of this request.

DOCUMENTS TO BE PRODUCED PURSUANT TO SUBPOENA

1. Documents sufficient to show the name, address, state of incorporation, and agent for service of process, for any entity for which you are a director, officer, registered agent, or in which you possess an ownership interest.
2. Documents sufficient to show the names, addresses, phone numbers, e-mail address, and any other contact information of all current and former customers or clients of you, Five Traders, DCAST Capital, or any other entity identified in response to Request No. 1.
3. Documents sufficient to show all funds received or sent from or to any current or former customers or clients of you, Five Traders, DCAST Capital, or any other entity identified in response to Request No. 1.
4. All communications between you, and any person affiliated with any entity identified in response to Request No. 1 concerning any current, former, or potential customers or clients of yourself, DCAST Capital, Five Traders, or any entity identified in response to Request No. 1.
5. All agreements entered into between or among you, DCAST Capital, Five Traders, or any current, former, or potential customers or clients of yourself, DCAST Capital, Five Traders, or any other entity identified in response to Request No. 1, including but not limited to any powers of attorney or managed account agreements.
6. Documents sufficient to show the names, addresses, phone numbers, e-mail addresses, and any other contact information of any current or former employees and/or representatives of DCAST Capital, Five Traders, or any other entity identified in response to Request No. 1.

7. Documents sufficient to show the names, addresses, phone numbers, e-mail addresses, and any other contact information of all counterparties, including futures commission merchants, through whom trades you, DCAST Capital, Five Traders, or any other entity identified in response to Request No. 1 placed trades on behalf of yourself, DCAST Capital, Five Traders, any other entity identified in response to Request No. 1, or any current or former customers or clients.
8. All written communications between you, DCAST Capital, Five Traders, and/or any other entity identified in response to Request No. 1, and all current or former customers or clients or potential customers or clients, including, but not limited to, solicitations, brochures, pamphlets, promotional materials, historical returns, risk disclosures, letters, invoices, contracts, e-mails, reports, account opening statements, account statements, facsimiles, updates, reports, memoranda, graphs, charts or notes.
9. All customers' complaints and grievances (whether oral or written) concerning you, DCAST Capital, Five Traders, and/or any other entity identified in response to Request No. 1, including, but not limited to, all complaints, criticisms, grievances, requests for refunds or damages, lawsuits, or communications regarding other legal action (threatened or actual), and documents concerning the handling and resolution of each of the aforementioned items.
10. Documents sufficient to identify any websites created, managed, or utilized by you, DCAST Capital, Five Traders, or any other entity identified in response to Request No. 1, to solicit potential customers, as well as any advertisements (in written or any other form) concerning, the website, or any affiliated websites.
11. A complete copy of any websites identified in response to Request No. 10, including password protected sections.
12. Documents sufficient to show the following information concerning all bank accounts you, DCAST Capital, Five Traders, or any other entity identified in response to Request No. 1 owned, operated, or controlled at any time from January 1, 2014 to present:
 - a. Bank Name;
 - b. Bank Address;
 - c. Account Number(s);
 - d. Name of all persons who are authorized users of the account.

DOCUMENTS TO BE PRESERVED

The U.S. Commodity Futures Trading Commission's Division of Enforcement hereby requests that you, DCAST Capital, Five Traders, and any other entity over which you exercise control, as defined above, preserve all documents and communications concerning or in any way related to commodity interests (as defined in Commission Regulation 1.3, 17 C.F.R. § 1.3 (2020)) for the period January 1, 2014 to the present.



CFTC Data Delivery Standards

Effective: March 14, 2018

This document describes the technical requirements for electronic document productions to the Commodity Futures Trading Commission (CFTC). Any proposed file formats other than those described below must be discussed with the legal and technical staff of the CFTC Division of Enforcement prior to submission.



CFTC Data Delivery Standards

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****Any proposed file formats other than those described below must be discussed with the legal and technical staff of the CFTC Division of Enforcement prior to submission.****

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General Instructions

Please send documents via overnight mail (1155 21st Street NW, Mailstop CPI, Washington, DC, 20581) or use the Commission's secure file transfer protocol ("FTP"); **do not produce any documents via the U.S. Postal Service.** If you are interested in sending documents using FTP, email eLaw-CPI@cftc.gov and they will provide you with the Commission's FTP credentials upon request. When sending documents via FTP, you **MUST** include the CFTC point of contact and a cover letter.

Electronic files must be produced in their native format, i.e., the format in which they are ordinarily used and maintained during the normal course of business. For example, an MS Excel file must be produced as an MS Excel file rather than an image of a spreadsheet.

(Note: An Adobe PDF file is **not** considered a native file unless the document was initially created as a PDF.)

In the event produced files require the use of proprietary software not commonly found in the workplace, the CFTC will explore other format options with the producing party.

In regards to imaged collections, the use of file de-duplication methodologies in preparing productions is becoming more commonplace. If your production will be de-duplicated it is vital that you 1) preserve any unique metadata associated with the duplicate files, for example, custodian name, and, 2) make that unique metadata part of your production to the CFTC.

General requirements for ALL document productions are:

1. **Production of data via email is unacceptable.**
2. Reference the specific portion of the request to which you are responding, along with a summary of the number of files in the production, so that we can confirm everything is loaded into our review system.
3. All native file submissions must be organized **by custodian** unless otherwise instructed.
4. All load-ready collections should include only one data load file and one image pointer file.
5. All load-ready text must be produced as separate text files, not as fields within the .DAT file.
6. All load-ready collections should account for custodians in the custodian field.
7. Audio files should be separated from data files if both are included in the production.
8. The preferred method of submission is via File Transfer Protocol (FTP). (See details in Section IV on page 10.)
9. Large productions (any production above 10 GB) must be submitted to the CFTC on media such as a CD, DVD, thumb drive, or hard drive. The media must be clearly marked with the following:
 - a. Matter name
 - b. Producing party
 - c. Production date
 - d. Disk number (1 of X), if applicable
10. Only alphanumeric characters and the underscore character are permitted in file names and **folder names**. Special characters are not permitted. Any data received with file names or folders with special characters, including the comma, will be rejected. The combined length of the file path with folder and file name should not exceed 255 characters.



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11. Include information within the cover letter regarding the time zone used, if emails or other electronic files were standardized during conversion.
12. If you want the submitted material returned at the conclusion of the investigation you must indicate that preference in writing when the material is produced, **and** the media on which it is provided **must** be encrypted.
13. All production data containing sensitive or personally identifiable information must be encrypted using FIPS 140 compliant software.
14. Provide passwords for all password-protected files or hardware in a separate transmittal.
15. All productions should be checked and produced free of computer viruses and malware. Productions containing viruses or malware may not be accepted and will require a new production.
16. If the production is created using Relativity, Duplicate Spare = No must not be applied.

Electronic Discovery Protocols

If a producing party wants to employ winnowing techniques to reduce the volume of production material, then consultation with the CFTC attorney is required to define and agree upon the requirements and applied technology. Thereafter, all productions made to the CFTC should reference the established protocol. Such methodologies may include, but are not limited to, the following criteria:

- Data Sources
- Custodians
- Date Range(s)
- Search Terms
- Deduplication
- Email Threading Usage
- Early Case Assessment (ECA) Usage
- Technology Assisted Review (TAR)
- Other Criteria, including alternative forms of analytics

Delivery Formats

I. Native File Production

Requirements for the production of native document files are listed below.

1. **Emails:** Emails and attachments must be produced as PST, NSF, DBX, MBOX, or MSG files. The file name must include the name of the email custodian. When a production consists of multiple custodians, a separate PST (or similar file) should be produced for each custodian.
2. **Account Statements:** Account statements must be produced in the same format in which they were originally created and distributed.
3. **Instant Messages (IMs):** IMs should be produced in .PST format or a delimited text file which must include, at a minimum, the following fields:
 - 1) DATE
 - 2) TIME



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- 3) FROM
- 4) TO
- 5) CONVERSATION_TEXT
- 6) CONVERSATION_INDEX

Multiple conversations must be produced in a single file and a conversation index or similar unique string must be used to identify all threads of the same conversation. Field names must be included in the first row of the text file.

4. **Audio Files:** Audio files from telephone recording systems must be produced in a format that is playable using Microsoft Windows Media Player™. Types of audio files that will be accepted include:
 - o Nice Systems audio files (.aud). AUD files offer efficient compression and would be preferred over both NMF and WAV files.
 - o Nice Systems audio files (.nmf).
 - o WAV files
 - o MP3, MP4
 - o WMA
 - o AIF

Produced audio files must be in a separate folder compared to other data in the production.

Additionally, the call information (metadata) related to each audio recording **must be produced if it exists**. The metadata must include, at a minimum, the following fields:

- 1) CALLER_NAME or CALLER_ID: Caller's name or identification number
- 2) CALLING_NUMBER: Caller's phone number
- 3) FILENAME: Filename of audio file
- 4) DATE: Date of call
- 5) TIME: Time of call
- 6) CALLED_PARTY: Name of the party called
- 7) CALLED_NUMBER: Called party's phone number

The filename is used to link the metadata to the produced audio file. The file name in the metadata and the file name used to identify the corresponding audio file must match exactly. The metadata file must be produced in delimited text format. Field names must be included in the first row of the text file. A sample .DAT file containing only a few fields for illustration purposes is depicted below:

Type	Audio_Truncated	CALLER_ID	CUSTODIAN	DATE	TIME	CALLED_NUMBER
b07/09/2007	09:33:03	Speakers	b07/09/2007	09:32:42	b07/09/2007	09:17:24
b07/17/2007	09:17:36	Speakers	b07/17/2007	09:17:24	b07/17/2007	08:13:12
b10/12/2007	08:13:12	Speakers	b10/12/2007	08:12:47	b10/12/2007	08:18:19
b10/12/2007	08:18:51	Speakers	b10/12/2007	08:18:19	b10/12/2007	07:12:14
b12/05/2007	07:12:14	Speakers	b12/05/2007	07:11:58	b12/05/2007	08:40:17
b12/17/2007	08:40:17	Speakers	b12/17/2007	08:40:09	b12/17/2007	09:39:12
b12/31/2007	09:39:12	Speakers	b12/31/2007	09:39:00	b12/31/2007	

5. **Video Files:** Video files must be produced in a format that is playable using Microsoft Windows Media Player™ along with any available metadata. If it is known that the



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video files do not contain associated audio, indicate this in the accompanying transmittal letter. Types of video files accepted include:

- MPG
- AVI
- WMV
- MOV
- FLV

6. **Transcripts:** Legal transcripts must be produced electronically in manuscript form with line numbers and page numbers. The preferred format is plain text (ASCII), although LiveNote and Summation formats are acceptable.

II. Imaged Collections

While the CFTC accepts imaged productions in addition to native formats, imaged productions without native formats are not permitted unless the original document only exists in hard copy form. When images are produced, they must comply with the requirements below.

*****The use of file de-duplication methodologies in preparing productions is becoming more commonplace. If your production will be de-duplicated it is vital that you 1) preserve any unique metadata associated with the duplicate files, for example, custodian name, and, 2) make that unique metadata part of your production to the CFTC.*****

Note: Adobe PDF files are not acceptable as imaged productions. PDF files are acceptable only when the document content was initially created as a PDF (e.g., fillable PDF forms) and not converted from another format.

1. Images

- a. Black and white images must be 300 DPI Group IV single-page TIFF files.
- b. Color images must be produced in JPEG format.
- c. File names cannot contain embedded spaces or special characters (including the comma).
- d. Folder names cannot contain embedded spaces or special characters (including the comma).
- e. All image files must have a unique file name.
- f. Images must be endorsed with sequential Bates numbers in the lower right corner of each image.
- g. The number of TIFF files per folder should not exceed 500 files.
- h. TIFF images of Excel spreadsheets are not useful for review purposes; because the imaging process can often generate thousands of pages per file, a placeholder image, named by the *IMAGEID* of the file, should be used instead, and the native Excel file should be produced.



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2. Concordance Image® Cross-Reference File

The image cross-reference file is needed to link the images to the database. It is a comma-delimited file consisting of seven fields per line. There must be a line in the cross-reference file for every image in the database.

The format is as follows:

ImageKey, VolumeLabel, ImageFilePath, DocumentBreak, FolderBreak, BoxBreak, PageCount

ImageKey: This is the unique designation that Concordance and Concordance Image and Relativity use to identify and retrieve an image. This value may be the same as the Bates number endorsed on each image.

VolumeLabel: Leave this field empty.

ImageFilePath: This is the full path to the image file on the produced storage media.

DocumentBreak: This field is used to delineate the beginning of a new document. If this field contains the letter “Y,” then this is the first page of a document. If this field is blank, then this page is not the first page of a document.

FolderBreak: This field is used to delineate the beginning of a new folder in the same manner as the *DocumentBreak* field. If this information is not available, then it may be left empty.

BoxBreak: This field is used to delineate the beginning of a new box in the same manner as the *DocumentBreak* and *FolderBreak* fields. If this information is not available, then it may be left empty.

PageCount: Leave this field empty.

Sample

```
LA-0000001,,E:\001\ LA-0000001.TIF,Y,,,
LA-0000002,,E:\001\ LA-0000002.TIF,,,,
LA-0000003,,E:\001\ LA-0000003.TIF,Y,,,
LA-0000004,,E:\001\ LA-0000004.TIF,,,,
LA-0000005,,E:\001\ LA-0000005.TIF,,,,
```

3. Data File

The data file (.DAT) contains all of the fielded information that will be loaded into the *Concordance*® or *Relativity*® database.

- The first line of the .DAT file must be a header record identifying the field names.
- The .DAT file must use the following *Concordance*® default delimiters:

Comma		ASCII character 20
Quote	p	ASCII character 254
Newline	®	ASCII character 174
- Date fields should be provided in the format: MM/DD/YYYY.



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- d. If the production includes imaged emails and attachments, the attachment fields must be included to preserve the parent/child relationship between an email and its attachments.
- e. A TEXTPATH field must be included to provide the file path and name of the extracted text file on the produced storage media. The text file must be named after the Begno. Do not include the text in the .DAT file.
- f. For production with native files, a NATIVELINK field must be included to provide the file path and name of the native file on the produced storage media.
- g. BegAtt and EndAtt fields must be two separate fields.
- h. DateSent and TimeSent fields must be two separate fields.
- i. All text and metadata associated with the document collection must be produced.

Sample of .DAT file (only includes a sample of fields)

```

bBegnobbbBegAttachbbbEndAttachbbbFileDescripbbbFilenamebbbRecordTypeb
bEML-0030437bbbOutlook Data FilebbbQuestion Fill Out Form.htmbbb
bEML-0030438bbbOutlook Data FilebbbRE: Your Question.htmbbb
bEML-0030439bbbOutlook Data FilebbbQuestion Fill Out Form.htmbbb
bEML-0030440bbbOutlook Data FilebbbLook.htmbbbE-MAILbbb
bEML-0030441bbbOutlook Data FilebbbQuestion Fill Out Form.htmbbb
bEML-0030442bbbOutlook Data FilebbbQuestion Fill Out Form.htmbbb
bEML-0030443bbbOutlook Data FilebbbQuestion Fill Out Form.htmbbb
bEML-0030444bbbOutlook Data FilebbbQuestion Fill Out Form.htmbbb
bEML-0030445bbbOutlook Data FilebbbATTN.htmbbbE-MAILbbb
bEML-0030446bbbOutlook Data FilebbbQuestion Fill Out Form.htmbbb
bEML-0030447bbbOutlook Data FilebbbQuestion Fill Out Form.htmbbb
bEML-0030448bbbOutlook Data FilebbbQuestion Fill Out Form.htmbbb
  
```

The metadata for the document collection should be provided in a .DAT file using the field definition and formatting described below:

Field	Description	Field Type	Required
Begno	Displays the document identifier of the first page in a document or the entire document of an E-Doc.	Text	Yes
Endno	Page ID of the last page in a document (for image collections only).	Text	Yes for Image Collections
BegAttach	Displays the document identifier of a parent record. Must be separate from EndAttach field.	Text	If it Exists
EndAttach	Displays the document identifier of the last attached .document in a family. Must be separate from BegAttach field.	Text	If it Exists
PgCount	Number of pages in a document (for image	Text	Yes for Image



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Field	Description	Field Type	Required
	collections only).		Collections
FileDescription	Description of a native file type.	Text	Yes
Filename	Original filename of a native file,	Text	Yes for Documents
RecordType	Displays the record type for each entry in the load file.	Text	Yes
ParentID	Displays the document identifier of the attachment record's parent (only for attachments).	Text	If it Exists
NumAttach	Total number of records attached to the document. The value will always be 0 (zero) for the actual attachment records.	Text	If it Exists
Attachmt	Populates parent records with document identifier of each attached record and is separated by semi-colons.	Text	If it Exists
Custodian	The owner of the record.	Text	Yes
From	Author of the e-mail message.	Text	Yes for email
To	Main recipient(s) of the e-mail message.	Text	Yes for email
CC	Recipient(s) of "Carbon Copies of the e-mail message.	Text	If it Exists
BCC	Recipient(s) of "Blind Carbon Copies" of the e-mail message.	Text	If it Exists
EMail_Subject	Subject of the e-mail message.	Paragraph	Yes for email
DateSent	Sent date of an e-mail message. Must be separate from TimeSent field.	MM/DD/YYYY	Yes for email
TimeSent	Time the e-mail message was sent. Must be separate from DateSent field.	Text	Yes for email
IntMsgID	Internet Message ID assigned to an e-mail message by the outgoing mail server.	Text	If it Exists
ConversationIndex	This is a 44 character string of numbers and letters that is created in the initial email and which as 10 characters added for each reply or forward of an email.	Text	Yes for email
Conversation Family	E-mail thread identification. Relational field for Conversion threads.	Text	Yes for email
EntryID	Unique identifier of e-mails in mail stores.	Text	If it Exists
Author	Author value pulled from metadata of the native file.	Text	If it Exists
Organization	Company extracted from metadata of the native file.	Text	If it Exists
Subject	Subject value extracted from metadata of the native file.	Paragraph	If it Exists
DateCreated	Creation date of the native file.	MM/DD/YYYY	If it Exists
DateLastMod	Date the native file was last modified.	MM/DD/YYYY	If it Exists
DateLastPrnt	Date the native file was last printed.	MM/DD/YYYY	If it Exists
MD5Hash	MD5 hash value.	Text	Yes
EDSource	Fully qualified original path to the source folder, files, and/or mail stores.	Text	Yes



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Field	Description	Field Type	Required
NativeFile	Hyperlink to the native file.	Text	Yes
Textpath	Extracted text path.	Paragraph	Yes
Imagkey	Page ID of the first page of a document (for image collections only). Should be the same as the Begno field.	Paragraph	Yes
+ Any other fields considered relevant by the producing party.			

4. Text

Text must be produced as separate text files, not as fields within the .DAT file. If text is included in the .DAT file as a field, the production will be rejected. Extracted text must be in a separate folder, one text file per document. The files must be named the same as the Begno field. The number of files per folder should not exceed 500 files. There should be no special characters (including commas in the folder names).

5. Linked Native Files

Copies of original email and native file documents/attachments must be included for all electronic productions.

- Native file documents must be named per the Begno field.
- The full path of the native file must be provided in the .DAT file for the NativeFile field.
- The number of native files per folder should not exceed 500 files.
- There should be no special characters (including commas in the folder names).

III. Productions of Adobe PDF Files

PDF files are not substitutions for native files, as metadata is lost when PDFing native files. PDF productions that are produced as native productions will be rejected unless the files were originally created using Adobe (e.g., fillable electronic PDF forms) or prior agreement is reached with the designated CFTC attorney. In those exceptions, PDF productions should adhere to the following guidelines:

- PDF files should be produced in separate folders named by the custodian. The folders should not contain any special characters (including commas).
- All PDFs must be unitized at the document level, i.e., each PDF should represent a discrete document; **a PDF cannot contain multiple documents. PDF packages will be rejected.**
- All PDF files must contain embedded text that includes all discernible words within the document, not selected text or image only. This requires all layers of the PDF to be flattened first.
- If PDF files are Bates endorsed, the PDF files must be named by the Bates range.



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IV. Productions of Website Content

Website content must be produced in native format and viewable in common web browsers (e.g. Internet Explorer, Mozilla Firefox, and Google Chrome) without the use of any additional third party software. If the only existing state of a website is in source code form, the party must produce a fully compiled version of the website in addition to the website source code with documentation of the process used to render, compile, and/or restore the website to an easily viewable form.

V. Productions of Forensic Images of Computer Media

Forensic images must be produced in a common/standard format to include (E01, Ex01, L01, Lx01, AD1, Raw Bitstream, and S01). An inventory of any original computer media must be provided with the image files. All associated log files from any forensic acquisition must be produced with the image files. The log files must contain a hash value, at a minimum (MD5, SHA-1, or higher), for authentication purposes. A chain of custody document must be provided to ensure the integrity of any digital evidence.

VI. Productions of Forensically Acquired Mobile Device Data

Forensically acquired mobile device data must be provided in the original format of the software/hardware used to capture the data. All original logs and authentication reports must also be provided with the respective data.

VII. FTP (File Transfer Protocol) Submission

The preferred method for producing data is via FTP. The CFTC has an FTP site set up that will allow transfer of data up to 2 GB per transmission.

If you are interested in sending documents using FTP, email eLaw-CPI@cftc.gov and they will provide you with the Commission's FTP credentials upon request. When sending documents via FTP, you **MUST** include the CFTC point of contact and a cover letter.



COMMODITY FUTURES TRADING COMMISSION
WASHINGTON, D.C. 20581

**Statement to Persons Providing Information about Themselves to the
Commodity Futures Trading Commission (“Commission” or “CFTC”)**

This document sets forth your legal rights and responsibilities (i) as a person requested to supply information about yourself voluntarily, (ii) as a person with recordkeeping obligations under the Commodity Exchange Act (“Act”) or the Commission Regulations promulgated thereunder (“Regulations”), (iii) as a person directed to provide information to the Commission pursuant to a special call, or as a person directed to provide sworn testimony or produce documents pursuant to a subpoena. When applicable, this statement also provides important information about the deposition process for persons providing testimony. Unless stated otherwise, the information below applies whether you are providing information voluntarily, pursuant to the recordkeeping obligations of a registrant, pursuant to a special call, or pursuant to a subpoena.

PRIVACY ACT

To restrict unauthorized dissemination of personal information, the Privacy Act of 1974, 5 U.S.C. § 552a, limits an agency’s ability to disclose such information.¹ Under the Privacy Act, the Commission may disclose protected information as follows: when the individual to whom the record pertains consents in writing; when officers and employees of the Commission need the record to perform their duties; when required by the terms of the Freedom of Information Act, 5 U.S.C. § 552; or when disclosure is for a “routine use” (i.e., one compatible with the purpose for which the information was collected).

The Privacy Act also requires that, in certain situations, individuals requested to provide information about themselves receive notice of the following:

1. **PURPOSE OF SOLICITATION OF INFORMATION.**

The Commission’s principal purpose in soliciting information from you when conducting an enforcement investigation is to determine whether any person has violated, is violating, or is about to violate the Act or the Regulations. In certain circumstances, the Commission may be obtaining information at the request of a foreign futures authority under Section 12(f) of the Act, 7 U.S.C. § 16(f).

2. **AUTHORITY FOR SOLICITATION OF INFORMATION.**

- a. *Persons Requested To Supply Information Voluntarily.* The Commission has authority to collect this information pursuant to one or more sections of the Act and the Regulations promulgated thereunder, including Section 8 of the Act, 7 U.S.C.

¹ Individuals should refer to the full text of the Privacy Act, 5 U.S.C. § 552a, to Part 146 of the Commission’s Regulations, 17 C.F.R. pt. 146, and to the CFTC’s compilation of System of Record Notices, 76 Fed. Reg. 5974 (Feb. 2, 2011), for a complete list of authorized disclosures and coverage of the Act. Only those disclosures arising most frequently are mentioned in this document.

§ 12, and Part 11 of the Regulations, 17 C.F.R. pt. 11. Disclosure of the requested information to the Commission is voluntary on your part.

- b. *Persons Directed To Supply Information Pursuant to Subpoena.* The authority for requiring production of information is set forth in the subpoena.
- c. *Whistleblowers.* The Commission has authority to collect information from persons seeking to participate in the Commission's whistleblower program pursuant to Section 23 of the Act, 7 U.S.C. § 26, and Part 165 of the Regulations, 17 C.F.R. pt. 165.
- d. *Persons Directed to Supply Information Pursuant to a Provision of the Act or Regulations.* The authority for requiring production of information is set forth in the request.

3. EFFECT OF NOT SUPPLYING INFORMATION.

- a. *Persons Requested To Supply Information Voluntarily.* There are no direct effects or sanctions for failing to provide any or all of the requested information. If you do provide information, however, you should note the sanctions for false statements and documents described above.
- b. *Persons Directed To Supply Information Pursuant to Subpoena.* Disclosure of information to the Commission pursuant to a subpoena is mandatory, subject to the valid assertion of any legal right or privilege you might have. If you fail to comply with the subpoena, the Commission may seek a court order requiring you to do so. If the Commission obtains such an order and you thereafter fail to supply the information, you may be subject to civil and/or criminal sanctions for contempt.
- c. *Whistleblowers.* Failure to provide information requested by Commission staff in relation to a whistleblower submission may affect your ability to receive a whistleblower award, or the potential amount of an award.
- d. *Persons Directed to Supply Information Pursuant to a Provision of the Act or Regulations.* Disclosure of information to the Commission pursuant to a provision of the Act or Regulations is mandatory, subject to the valid assertion of any legal right or privilege you might have. Failure to submit or make available for inspection the requested information constitutes a violation of the Act and Regulations, and may result in any or all of the actions under Section 6(c) or 6c of the Act, 7 U.S.C. §§ 9, 13.

4. ROUTINE USES OF INFORMATION.

The Commission often makes its files available to other governmental agencies, including the Department of Justice, the Securities & Exchange Commission, and state prosecutors. There is a likelihood that information supplied by you will be made available to such agencies where appropriate.

The information collected will be used pursuant to System of Records Notice (SORN) [CFTC-10, Investigatory Records](#); [CFTC-15, Enterprise Surveillance, Oversight & Risk Monitoring](#); or [CFTC-49, Whistleblower Records](#). Information you provide also may be used in the routine operation of the Commission, which includes law enforcement, review of legislative and regulatory proposals, regulation of the commodity futures and swaps markets, and review of reports and documents filed with the Commission. A complete use of blanket routine uses for Commission System of Records Notices is published in the Federal Register at [76 Fed. Reg. 5974](#) (Feb. 2, 2011).

FREEDOM OF INFORMATION ACT

The Freedom of Information Act, 5 U.S.C. § 552 (“FOIA”), and the Commission’s rules and regulations pursuant thereto, 17 C.F.R. pt. 145, generally provide for disclosure of information to the public, unless information falls within a specified exemption. Regulation 145.9, 17 C.F.R. § 145.9, establishes the procedure by which you may request that certain sensitive information not be disclosed pursuant to a FOIA request.

FALSE STATEMENTS AND DOCUMENTS

Any person who knowingly and willfully makes false or fraudulent statements, whether under oath or otherwise, or falsifies, conceals or covers up a material fact, or submits any false writing or document, knowing it to contain false, fictitious or fraudulent information, is subject to the criminal penalties set forth in 18 U.S.C. § 1001, which include imprisonment of not more than five years, imposition of a substantial fine under the Federal Sentencing Guidelines, or both.

It shall also be unlawful for any person to make any false or misleading statement of a material fact to the Commission, including in any registration application or any report filed with the Commission under this Act, or any other information relating to a swap, or a contract of sale of a commodity, in interstate commerce, or for future delivery on or subject to the rules of any registered entity, or to omit to state in any such statement any material fact that is necessary to make any statement of a material fact made not misleading in any material respect, if the person knew, or reasonably should have known, the statement to be false or misleading, as set forth in Section 6(c)(2) of the Act, 7 U.S.C. § 9(2).

TESTIMONY

The following information applies to individuals providing sworn testimony:

1. **RECORD.**

Your testimony will be transcribed by a reporter. If at any time you wish to go off the record, please inform the Commission representative taking your testimony, and that representative will decide whether to grant your request. The reporter will go off the record only at the request of the Commission representative, and not at the direction of you or your counsel. The Commission representative may summarize all off-the-record discussions when you go back on the record.

2. **COUNSEL.**

You may be accompanied, represented and advised by counsel. He or she must be an attorney-at-law admitted to practice before the highest court in any state or territory or the District of Columbia, who has not been suspended or disbarred from appearance and practice before the Commission. Your counsel may be present and may advise you before, during, and after your testimony.²

Counsel may also question you briefly at the conclusion of your testimony to clarify any answers, and may make summary notes during your testimony. You may consult with your counsel at any time during the proceedings. If you want to consult privately with counsel, inform the Commission representative taking your testimony and necessary arrangements will be made.

If you are not accompanied by counsel and decide at any time during the proceeding that you wish to be accompanied, represented, or advised by counsel, please so advise the Commission representative taking your testimony. The proceeding will then be adjourned to afford you the opportunity to make necessary arrangements.

The Commission may for good cause exclude a particular attorney from further participation in any investigation in which the Commission has found the attorney to have engaged in dilatory, obstructionist, or contumacious conduct.

You may be represented by counsel who represents other persons involved in the Commission's investigation. This multiple representation, however, presents a potential conflict of interest if one client's interests are or may be adverse to another's. If you are represented by counsel who also represents other persons involved in the investigation, the Commission will assume that you and counsel have discussed and resolved all issues concerning possible conflicts of interest. The choice of counsel, and the responsibility for that choice, is yours.

² No one other than your attorney and persons providing assistance to your attorney necessary to ensure representation of counsel are entitled to accompany, represent or advise you at the proceeding.

3. PERJURY.

Any person making false statements under oath during a Commission investigation is subject to the criminal penalties for perjury in 18 U.S.C. § 1621, which provides, in relevant part, that:

Whoever ... having taken an oath before a competent tribunal, officer, or person, in any case in which a law of the United States authorizes an oath to be administered, that he will testify, declare, depose, or certify truly, . . . willfully and contrary to such oath states or subscribes any material matter which he does not believe to be true . . . is guilty of perjury and shall, except as otherwise expressly provided by law, be fined under [title 18] or imprisoned not more than five years, or both.

4. TRANSCRIPT AVAILABILITY.

Under Regulation 11.7(b), 17 C.F.R. § 11.7(b), any person compelled to submit testimony in the course of an investigatory proceeding is entitled, upon payment of appropriate fees, to procure a copy or transcript of his or her testimony. For good cause, however, a witness may be limited to review of the official copy of his or testimony. The rights provided by this rule also apply to individuals testifying voluntarily.

To request written authorization to purchase a copy of the transcript of your testimony, send a written request to the Commission representative taking your testimony. Whether or not you wish to purchase a copy of the transcript, a copy will be available for your review at the Commission office most convenient to you. To arrange for such review, contact the Commission representative taking your testimony.

5. FIFTH AMENDMENT.

Information you provide may be used against you in any Federal, state, local, or foreign administrative, civil, or criminal proceeding brought by the Commission or any other agency. In accordance with the rights guaranteed to you by the Fifth Amendment to the Constitution of the United States, you may refuse to provide information that may tend to incriminate you or otherwise subject you to a fine, penalty, or forfeiture, by invoking the Fifth Amendment. An adverse inference may be drawn in a civil or administrative proceeding from your refusal to testify.

6. FAILING TO ANSWER QUESTIONS.

a. *Testimony Pursuant to Subpoena.* If testifying pursuant to a subpoena, your disclosure of information to the Commission is mandatory, subject to any legal right or privilege you may have. If you fail to provide requested information, the Commission may seek a court order requiring you to do so. If such an order is obtained, you may be subject to civil and/or criminal sanctions for contempt of court for any continued failure to supply the information.

b. *Voluntary Testimony.* If your testimony is not pursuant to a subpoena, your

appearance to testify is voluntary. Accordingly, you may leave the proceeding at any time, and you are not required to answer questions. There are no direct sanctions or effects for failing to supply all or part of the information requested by the Commission. If you do provide information, however, you should note the sanctions for false statements and documents described above.

7. FORMAL ORDER AVAILABILITY.

If the Commission has issued a formal order of investigation, Commission Rule 11.7(a), 17 C.F.R. § 11.7(a), allows you to examine it at your request during your testimony. To obtain a copy of the formal order, however, you must submit a written request to the Commission representative taking your testimony and demonstrate that your retention of a copy of the formal order “would be consistent both with the protection of privacy of persons involved in the investigation and with the unimpeded conduct of the investigation.” Regulation 11.7(a), 17 C.F.R. § 11.7(a).

8. ALLOWABLE FEES AND EXPENSES.

The Commission is neither required nor authorized to pay fees and mileage to the witness upon service of a subpoena. 7 U.S.C. § 9; 28 U.S.C. § 1825(c); 31 U.S.C. § 3324(b); 17 C.F.R. § 11.4. However, after giving testimony pursuant to a subpoena, the witness may request of the Commission, and the Commission will pay, the same fees and mileage that are paid to witnesses in the courts of the United States. 17 C.F.R. § 11.4(d); *see also* 28 U.S.C. § 1821.5.³

- a. *Attendance Fees.* You are entitled to the prevailing Federal witness fee for each day’s attendance, including time needed to travel to and from the location of the proceeding.
- b. *Common Carrier Transportation.* If traveling by common carrier, you will be paid the actual expenses of transportation between your residence and the location of the proceeding, using the shortest practical route and the most economical rate reasonably available. To ensure the lowest rate, contact the
- c. Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street, NW, Washington, D.C. 20581, for a prepaid travel ticket. Receipts must be submitted with all claims for transportation expenses. If you were supplied with a government-paid airline or train ticket, attach the receipt and/or stub to your claim.
- d. *Rental Cars.* Reimbursement for the use of a rental car cannot be made unless authorized in advance by the Commission on a signed travel order. The Commission must determine whether use of a rental car is cost beneficial to the government.
- e. *Travel by Privately Owned Vehicle (POV).* If traveling by POV, you are entitled to

³ The exact amount of the prevailing attendance fee, mileage allowance, and subsistence allowance for Federal witnesses is published at 28 U.S.C. § 1821.

a mileage allowance based on a uniform table of distances at a rate established by the General Services Administration and published at 28 U.S.C. § 1821(c)(2). Travel by POV must be approved in writing by Commission staff as advantageous to the government.

- f. *Miscellaneous Travel Expenses.* You are entitled to reimbursement for the following charges: toll charges on roads, bridges, tunnels, and ferries; necessary taxicab fares between places of lodging and carrier terminals; and parking fees. You are not entitled to reimbursement for telephone expenses. Receipts must be submitted to obtain reimbursement for all permitted expenses.
- g. *Subsistence Expenses.* You are entitled to reimbursement for subsistence expenses when the distance between the place of attendance and your residence precludes daily return travel. Subsistence allowances for witnesses are calculated and paid in the same manner as those paid to Federal employees. For information concerning the maximum daily allowance for reimbursement in your area, contact the Business Management Unit, Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street, NW, Washington, D.C. 20581. Receipts must be submitted for lodging expenses and all individual expenditures.
- h. *Reimbursement.* To receive reimbursement for allowable witness fees and expenses, you must complete and return a reimbursement claim form to the Commission within sixty (60) days of the date of your appearance. The claim must include the departure time from your residence and the time you returned to your residence after presenting testimony. In order to receive reimbursement, all receipts specified above must be submitted with the claim.

To obtain a reimbursement claim form, contact the Commission representative taking your testimony.

If you do not want to receive any reimbursement for fees and expenses, please:

- (1) print your name in Part I of the reimbursement claim (address is not necessary);
- (2) complete Part II, Line 7 with "0";
- (3) sign and date Line 9; and
- (4) return claim.

If you received a government-paid airline or train ticket, please attach the receipt or stub to the claim.

- i. *Travel Order.* In order to ensure that you will be reimbursed for your expenses, it is in your best interest to secure a signed copy of the travel order from the Business Management Unit, Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street, NW, Washington, D.C. 20581, prior to testifying, if feasible. The travel order specifies all expenses which have been authorized, including, for example, travel by POV or rental car.

EXHIBIT M

From: [Robert Pearce](#)
To: [Sloey, Nicholas](#)
Subject: [EXTERNAL] RE: RE: RE: FW: Damian Castilla; CFTC Investigation
Date: Tuesday, August 31, 2021 2:55:27 PM
Attachments: [image010.png](#)
[image011.jpg](#)
[image012.jpg](#)
[image013.jpg](#)
[image014.png](#)
[image015.jpg](#)
[image016.jpg](#)
[image017.jpg](#)
[image018.png](#)
[image019.jpg](#)
[image020.jpg](#)
[image021.jpg](#)
[image022.jpg](#)

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yes

Robert W. Pearce, Esq.

Robert Wayne Pearce, P.A.

1499 W. Palmetto Park Road, Suite 400

Boca Raton, Florida 33486

Telephone: (561) 338-0037

Facsimile: (561) 338-9310

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From: Sloey, Nicholas [<mailto:NSloey@CFTC.gov>]
Sent: Tuesday, August 31, 2021 3:54 PM
To: Robert Pearce
Cc: Simek, Thomas
Subject: RE: RE: RE: FW: Damian Castilla; CFTC Investigation
Mr. Pearce,

Please confirm whether the documents and information produced by Damian Castilla, DCAST Capital, and Five Traders are complete for requests 1, 2, and 12.

Regards,
Nick
Nicholas Sloey
816-560-8580

From: Robert Pearce <pearce@rwpearce.com>

Sent: Friday, August 27, 2021 2:47 PM

To: Sloey, Nicholas <NSloey@CFTC.gov>

Subject: [EXTERNAL] RE: RE: FW: Damian Castilla; CFTC Investigation

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I plan on inviting you to Dropbox folder where you will find the documents/information responsive to request 1,2 and 12.

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From: Sloey, Nicholas [<mailto:NSloey@CFTC.gov>]

Sent: Tuesday, August 24, 2021 11:54 AM

To: Robert Pearce

Cc: Simek, Thomas

Subject: RE: RE: FW: Damian Castilla; CFTC Investigation

Mr. Pearce,

Just to be clear, the time for a potential early resolution is extremely short and requires a response

from your client on the items I identified.

Nicholas Sloey
816-560-8580

From: Robert Pearce <pearce@rwpearce.com>

Sent: Tuesday, August 24, 2021 10:39 AM

To: Sloey, Nicholas <NSloey@CFTC.gov>

Subject: [EXTERNAL] RE: FW: Damian Castilla; CFTC Investigation

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FYI, I just heard from client and am advised that there has been a family emergency and hospitalization over the weekend. He recognizes the importance of getting you a response and will the best he can under the circumstances.

Robert W. Pearce, Esq.

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From: Sloey, Nicholas [<mailto:NSloey@CFTC.gov>]

Sent: Tuesday, August 24, 2021 10:09 AM

To: Robert Pearce

Cc: Simek, Thomas

Subject: RE: FW: Damian Castilla; CFTC Investigation

Mr. Pearce,

Thank you for your response. In an effort to potentially move quickly toward an early resolution, we request that your clients' response to the subpoena focus, initially, on requests numbers 1, 2, 3, and 12.

Regards,
Nick
Nicholas Sloey
816-560-8580

From: Robert Pearce <pearce@rwpearce.com>

Sent: Friday, August 20, 2021 9:10 AM

To: Sloey, Nicholas <NSloey@CFTC.gov>

Subject: [EXTERNAL] FW: Damian Castilla; CFTC Investigation

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Mr. Sloey,
My contact information is below.
Robert W. Pearce, Esq.
Robert Wayne Pearce, P.A.
1499 W. Palmetto Park Road, Suite 400
Boca Raton, Florida 33486
Telephone: (561) 338-0037
Facsimile: (561) 338-9310

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From: Monica Duncan

Sent: Friday, August 20, 2021 9:54 AM

To: Robert Pearce

Subject: Damian Castilla; CFTC Investigation

Monica Duncan

Legal Assistant

Robert Wayne Pearce, P.A.

1499 W. Palmetto Park Road, Suite 400

Boca Raton, Florida 33486

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To: [Robert Pearce](#)
Cc: [Simek, Thomas](#)
Subject: RE: [EXTERNAL] RE: RE: FW: Damian Castilla; CFTC Investigation
Date: Tuesday, August 31, 2021 2:53:00 PM
Attachments: [image001.png](#)
[image002.jpg](#)
[image003.jpg](#)
[image004.jpg](#)
[image005.png](#)
[image006.jpg](#)
[image007.jpg](#)
[image008.jpg](#)
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Cc: Simek, Thomas
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To: Sloey, Nicholas <NSloey@CFTC.gov>
Subject: [EXTERNAL] RE: FW: Damian Castilla; CFTC Investigation

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Regards,

Nick

Nicholas Sloey

816-560-8580

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Sent: Friday, August 20, 2021 9:10 AM
To: Sloey, Nicholas <NSloey@CFTC.gov>
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From: Monica Duncan

Sent: Friday, August 20, 2021 9:54 AM

To: Robert Pearce

Subject: Damian Castilla; CFTC Investigation

Monica Duncan

Legal Assistant

Robert Wayne Pearce, P.A.

1499 W. Palmetto Park Road, Suite 400

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